Chapter 8: Transmittal Reporting

Chapter Overview

This chapter provides information about transmittal reporting to DRS. Retirement contributions and deferred compensation are both reported on the transmittal reports. Refer to this chapter for details about:

- Transmittal reporting requirements
- Making corrections to the transmittal report
- Automated reporting requirements
- Edits for automated reporting
- Manual (paper) reporting
- Sequencing of annual statements

See Chapter 6 for instructions on how to calculate and transmit employer and employee contributions. Refer to Chapter 9 for information about transmittal edit reports.

Reporting to DRS

DRS depends upon receiving *timely and accurate information* from employers to provide service to retirement members and participants of the DCP. Accurate transmittal reporting by employers helps ensure:

- Plan 3 member contributions and participant deferrals are posted in a timely manner;
- interest on member accounts is calculated and posted accurately;
- member requests to withdraw contributions or participant requests for distribution of deferrals are processed in a timely manner; and
- member retirement benefits are calculated correctly.

Retirement Systems

Each month, employers are required to report information to DRS about each employee who is a member of a Washington State retirement system. This process is referred to as the regular transmittal report. Transmittal reports are due to DRS by the 15th of the month following the month being reported; e.g., the December transmittal is due January 15. If a transmittal report is late, DRS will assess a late penalty fee [RCW 41.50.110(5)].

Note: DRS recommends to employers they send the Plan 3 member contributions and the transmittal report as close to the first day of the month as possible. This allows the Plan 3 members contributions to be invested as soon as possible.

Deferred Compensation Program

Participating employers are required to report their employees who choose to participate in the DCP. This report must be submitted to DRS before, on or soon after each payday. Reports that are received more than five days beyond an employer's payday will be considered late.

Note: DRS will process DCP reports the day they are received if the money and the report are received together and can be reconciled.

A Summary of the Reporting Process

Retirement Systems

Employers can report to DRS in one of two ways: **manually**, using a preprinted paper report titled *"Member Earnings Transmittal Report*"; **electronically**, using a variety of options provided for automated reporting. Contact ESS if you need help getting started or have questions about your monthly reporting.

Deferred Compensation Program

Currently, employees become participants and/or change their deferral amount by sending DRS a Participation Agreement (PA) form. Participants will change their deferral amounts by phone or the Internet. To ensure security, future account transactions; e.g., deferral amount changes, will require a participant's Social Security number and associated Personal Identification Number (PIN) combination.

DRS will inform employers via a paper or electronic report of:

- new participants; and
- deferral amount changes for current participants.

This report will replace the PA form that DRS currently sends to employers as authorization (per the employee) for a new DCP deduction amount. Employers can report to DRS in one of two ways: **manually**, using a preprinted paper report titled *"DCP Transmittal Report*"; **electronically**, using a variety of options provided for automated reporting. Contact ESS if you need help getting started or have questions about your monthly reporting.

Starting your reporting

If you are a new employer or have resumed reporting, you must contact ESS to establish or reactivate your account. Once your account has been activated, you can begin sending your transmittal reports.

Submitting the Transmittal Report

The options available for submitting the member and participant information are described briefly below:

File Transfer Protocol

You can submit your transmittal report through the Internet using File Transfer Protocol (FTP). Refer to page 8—47.

Computer Diskette

You can submit your transmittal report on a 3.5-inch computer diskette. To report in this way, use a personal computer, save an electronic file in a format DRS will accept, then mail the computer diskette to ESS. Refer to page 8—43.

Dataset to DIS

If you have access to the Department of Information Services' (DIS) mainframe computer, you can submit your transmittal report as a dataset. See page 8—50.

Manual (Paper) Reporting

You can use a preprinted paper report sent to you each month by DRS. To report in this way, make corrections, changes, or additions using pen (red preferred) or typewriter on the manual transmittal report and mail it back to ESS. (Refer to page 8—85.)

Stopping Your Reporting

Do *not* simply stop sending the transmittal report. DRS expects to receive at least one transmittal report from you each month. If you no longer have any members or participants to report, contact ESS for instructions on how to stop reporting.

When to Report Information

Deferred Compensation Program

The DCP transmittal report must reflect participants' deferral information as of each payday. Employers with more than one payday in a month must submit a DCP transmittal report for each payday. One exception to this rule applies to bi-weekly payroll cycles. (DRS expects only two reports—even for the two months that have three pay dates.)

Retirement Systems

The regular transmittal report must reflect the reportable compensation paid to retirement system members during the month being reported. *Compensation must be identified by the month and year in which it is earned.* Report compensation *as earned, but not before it has been paid.*

Employers with more than one payroll cycle in a month can submit a transmittal report once a month or with each payroll cycle. In order to report multiple transmittal reports, an automated medium must be used. The following pages provide examples of transmittal reporting of retirement contributions for the different payroll cycles. The examples below are intended to explain only when information should be reported.

Monthly Payroll Cycles

Example #1:

Your payroll cycle is set so an employee is paid on January 31 for work performed from January 1—31. You pay compensation in the same month in which it is earned.

Figure 8-1 shows how you can report the employee using one line of the transmittal. Use a January earning period to report the compensation earned from January 1—31. Report this information on the January transmittal due to DRS by February 15.

Washington State Department of Retirement Systems **Member Earnings Transmittal Report**

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
1234	P	1	01/1999	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information			Earnings Information												
			Earning Period		Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date	End Date	Seq No.
SSN: 666 00 1111	Name: Doe, Jane		01	99	A	4953	00	297	18	371	48	170	0			
Gender: F	Birth: 12/12/40	Type: 03														

Figure 8-1

Example #2:

Your payroll cycle is set so that an employee is paid on February 28 for work performed from January 16—February 15. You pay compensation in one month that is earned in two different months (or earning periods).

As shown in Figure 8-2, you must report the employee using two lines on the transmittal. On one line, use a January earning period to report the compensation earned from January 16—31. On a second line, use a February earning period to report the compensation earned from February 1—15. This report would be for the reporting period of February due to DRS by March 15.

Washington State Department of Retirement Systems **Member Earnings Transmittal Report**

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
1234	P	2	02/1999	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information			Earnings Information													
			Earning Period		Status	Member Compensation		Employer Contributions		Member Compensation		Hour/ Days		Seq Begin Date	End Date	No.
SSN: 234 56 7890	Name: Moe, Joe		01	99	A	2000	00	93	00	150	00	80	0			
Gender: M	Birth: 07/28/55	Type: 03														
SSN: 234 56 7890	Name: Moe, Joe		02	99	A	2000	00	93	00	150	00	80	0			
Gender: M	Birth: 07/28/55	Type: 03														

Figure 8-2

The transmittal for the reporting period of March would be due to DRS April 15 and would have the compensation earned from February 16—28 and from March 1—15, as shown in Figure 8-3.

Washington State Department of Retirement Systems **Member Earnings Transmittal Report**

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
1234	P	2	03/1999	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information			Earnings Information													
			Earning Period		Status	Member Compensation		Employer Contributions		Compensation		Hour/ Days		Seq Begin Date	End Date	No.
SSN: 234 56 7890	Name: Moe, Joe		02	99	A	2000	00	93	00	150	00	80	0			
Gender: M	Birth: 07/28/55	Type: 03														
SSN: 234 56 7890	Name: Moe, Joe		03	99	A	2000	00	93	00	150	00	80	0			
Gender: M	Birth: 07/28/55	Type: 03														

Figure 8-3

Bi-Weekly Payroll Cycles
<u>Example #3</u>:

Your payroll cycle is set so that an employee is paid on February 13 for work performed from January 25—February 7 and is paid on February 28 for work performed from February 8—21. You pay compensation in one month that is earned in two different months (or earning periods).

In this case, you must report the employee using two lines on the transmittal, as shown in Figure 8-4. On one line use a January earning period to report the compensation earned from January 25—31. On a second line, use a February earning period to report the compensation earned from February 1—21. Report this information on the February transmittal due to DRS by March 15.

Washington State Department of Retirement Systems — **Member Earnings Transmittal Report**

Pt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
1234	P	2	02/1999	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information			Earnings Information: Earning Period		Status	Member Compensation		Employer Contributions		Hour/ Contributions		Days	Seq	Begin Date	End Date	No.
SSN: 234 56 7890	Name: Moe, Joe		01	99	A	1000	00	46	50	75	00	40	0			
Gender: M	Birth: 07/28/55	Type: 03														
SSN: 234 56 7890	Name: Moe, Joe		02	99	A	3000	00	139	50	225	00	120	0			
Gender: M	Birth: 07/28/55	Type: 03														

Figure 8-4

Compensation earned from February 22—March 7 and paid on March 13 is reported on two lines as shown in Figure 8-5. On one line, use a February earning period to report the compensation earned from February 22—28. On a second line, use a March earning period to report the compensation earned from March 1—21. These earnings are reported on the March transmittal due to DRS by April 15.

Washington State Department of Retirement Systems — **Member Earnings Transmittal Report**

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
1234	P	2	03/1999	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information			Earnings Information: Earning Period		Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days	Seq	Begin Date	End Date	No.
SSN: 234 56 7890	Name: Moe, Joe		02	99	A	1000	00	46	50	75	00	40	0			
Gender: M	Birth: 07/28/55	Type: 03														
SSN: 234 56 7890	Name: Moe, Joe		03	99	A	3000	00	139	50	225	00	120	0			
Gender: M	Birth: 07/28/55	Type: 03														

Figure 8-5

Making Corrections to the Transmittal Report

Corrections on your Transmittal Report

Deferred Compensation Program

If the deducted deferral amount is not equal to the preprinted (expected) amount, draw a line through the preprinted amount using a pen (red preferred) or a typewriter and enter the amount that was deducted below the preprinted amount.

To adjust a DCP participant's deferral, determine the current deduction. Then add to or subtract from this amount to determine the appropriate amount to deduct/report to DRS. Employers should communicate with DRS staff before making this type of adjustment.

Retirement Systems

You can make corrections on your transmittal report, or use the Transmittal Correction form (TC) to submit changes at any time during the month. Automated corrections can be submitted using any of the automated methods available.

Two methods may be used to make corrections via the transmittal report. They are the "reverse and reenter" method and the "adding/subtracting" method.

The preferred method is the reverse and reenter method. Using this method creates a record of your correction, an audit trail, which makes it easier for others to identify when and how a correction was made.

The adding/subtracting method allows you to use a single line to make a correction. This method can be used to correct errors in reported compensation, contributions or service.

Note: To correct member contributions in Plan 3, use the current salary and rate to determine the current deduction. Then add to or subtract from this amount to determine the appropriate amount to deduct/report to DRS.

Reverse and Reenter Method for Manual Reporting

<u>Example</u>:

- On one blank line of the report, enter information for the employee exactly as you had reported it originally. Use brackets "[ ]" or a negative sign "-" to indicate negative amounts. See Figure 8-6.

Note: If you are correcting information for a *nontaxed period*, the information may have been changed by DRS when your regular transmittal report was processed. Be sure to back out the information *the same as it was changed by DRS*. If you are correcting a *taxed period*, back out the information exactly as it was reported originally.

- On a second blank line, reenter the correct information for the employee.

Washington State Department of Retirement Systems — Member Earnings Transmittal Report

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
1234	P	2	05/1999	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information	Earnings Information: Earning Period		Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date	End Date	Seq No.
SSN: 234 56 7890 Name: Moe, Joe	04	99	A	-3000	00	-139	50	-225	00	-176	0			
Gender: M Birth: 07/28/55 Type: 03														
SSN: 234 56 7890 Name: Moe, Joe	04	99	A	2950	00	137	18	221	25	176	0			
Gender: M Birth: 07/28/55 Type: 03														

Figure 8-6

- Make any adjustments necessary to the page, plan and system totals.

Reverse and Reenter for Automated Reporting

<u>Example</u>:

First, enter a *reversing* transaction:

- Enter the month, year, status code and type code of the earning period you want to correct.

- Enter negative amount in the COMPENSATION, MEMBER CONTRIBUTIONS, EMPLOYER CONTRIBUTIONS and HOURS/DAYS fields to back out the incorrect reporting.

  Note: If you are correcting information for a *nontaxed period*, the information you reported may have been changed by DRS when your transmittal was processed. Be sure to back out the information *the same* *as it was changed by DRS*. If you are correcting reporting for a *taxed period*, back out the information as it was reported originally.

Second, enter the *correcting* transactions:

- Enter the month, year, status code and type code of the earning period you want to correct.
- Enter the correct, positive amounts in the COMPENSATION, MEMBER CONTRIBUTIONS, EMPLOYER CONTRIBUTIONS and HOURS/DAYS fields.
- Adjust the summary record (or summary page) totals as necessary.

Adding/Subtracting Method for Manual Reporting

Example:

- On a blank line of the form, enter member information in the SSN, NAME and TYPE fields.
- In the EARNING PERIOD field, enter the applicable month and year for the earning period being corrected.
- In the STATUS field, enter the applicable status code for the earning period being corrected.
- In the COMPENSATION, MEMBER CONTRIBUTIONS, EMPLOYER CONTRIBUTIONS and HOURS/DAYS fields, add to or subtract from the previously reported amounts to adjust the reported total.

  Note: As shown in Figure 8-7, if an employee earned $220.00 more than was reported and worked an additional eight hours, the compensation, contributions, and service would need to be adjusted upward.

Washington State Department of Retirement Systems — **Member Earnings Transmittal Report**

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
1234	P	2	05/1999	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information	Earnings Information: Earning Period		Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date	End Date	Seq No.
SSN: 234 56 7890 Name: Moe, Joe	04	99	A	220	00	10	23	16	50	8	0			
Gender: M Birth: 07/28/55 Type: 03														
SSN: 234 56 7890 Name: Moe, Joe	05	99	A	2950	00	137	18	221	25	176	0			
Gender: M Birth: 07/28/55 Type: 03														

Figure 8-7

- At the bottom of the report, enter the page, plan and system totals.

Adding/Subtracting for Automated Reporting

Example:

- Enter the month and year of the earning period you want to correct.

- Add to or subtract from the previously reported hours/days of service to correctly adjust the total.

  Note: If hours of service were reported as 132.0 and should have been reported as 140.0, report *positive* hours of 8.0.

- Adjust the summary record (or summary page) totals as necessary.

Corrections using the Transmittal Correction Form

A Transmittal Correction form (TC) may be used to make corrections to your transmittal reporting (excluding DCP reporting). Because a TC can be sent to DRS at any time during the month, it is usually the quickest method to use to make corrections to your transmittal report. The same two methods for making the corrections to your transmittal report are used for the TC. The methods are “reverse and reenter” and “adding/subtracting.”

Reverse and Reenter Method for TC

Example:

- Complete the necessary employer profile information in the header.

- On one blank line, enter information for the employee exactly as you had reported it originally. Use brackets “[ ]” or a negative sign “-” to indicate negative amounts. See Figure 8-8.

  Note: If you are correcting reporting for a *nontaxed period*, the information you reported may have been changed by DRS when your regular transmittal report was processed. Be sure to back out the information *the same as it was changed by DRS*. If you are correcting a *taxed period*, back out the information exactly as it was reported originally.

- On a second blank line, reenter the correct information for the employee.

Washington State Department of Retirement Systems — **Member Earnings Transmittal Report**

Rpt Type	Rptg Group (	System	Plan	Employer Name	Prepared by	Phone	Page
C	1234	P	2	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information			Earnings Information: Earning Period		Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date	End Date
SSN: 234 56 7890	Name: Moe, Joe		04	99	A	-3000	00	-139	50	-225	00	-176	0		
Gender: M	Birth: 07/28/55	Type: 03													
SSN: 234 56 7890	Name: Moe, Joe		04	99	A	2950	00	137	18	221	25	176	0		
Gender: M	Birth: 07/28/55	Type: 03													

Figure 8-8

- At the end of the TC report, enter page, plan and system totals.

Adding/Subtracting Method for TC

Example:

- Complete the necessary employer profile information in the header.
- On a blank line of the form, enter member information in the SSN, NAME and TYPE fields.
- In the EARNING PERIOD field, enter the applicable month and year for the earning period being corrected.
- In the STATUS field, enter the applicable status code for the earning period being corrected.
- In the COMPENSATION, MEMBER CONTRIBUTIONS, EMPLOYER CONTRIBUTIONS and HOURS/DAYS fields, add to or subtract from the previously reported amounts to adjust the reported total.

  Note: As shown in Figure 8-9, an employee earned $220.00 more than was reported and worked an additional eight hours, the compensation, contributions and service would need to be adjusted upward.

Washington State Department of Retirement Systems — **Member Earnings Transmittal Report**

Rpt Type	Rptg Group	System	Plan	Employer Name	Prepared by	Phone	Page
C	1234	P	2	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information			Earnings Information: Earning Period		Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date	End Date
SSN: 234 56 7890	Name: Moe, Joe		04	99	A	220	00	10	23	16	50	8	0		
Gender: M	Birth: 07/28/55	Type: 03													

Figure 8-9

- At the end of the report, enter the page, plan and system totals.

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Multiple Record Layout Automated Reporting

Procedures for Multiple Record Layout (MRL) Reporting

The following pages provide information about procedures used in the MRL automated reporting. Because various reporting options are used by employers, these procedures may not describe the specific reporting procedures used by your agency. Please contact the appropriate staff in your agency or contact your service bureau for additional guidance for reporting procedures for your particular situation.

If you have other questions about how to accomplish your automated reporting, see page 8—23 or contact ESS for assistance.

Adding an Employee to the Transmittal Report

When you hire a new employee who is eligible for retirement system coverage or who chooses to participate in the DCP, or when an existing employee becomes eligible for retirement coverage, you must begin reporting the employee to DRS.

Before Adding an Employee

Verify the employee's plan assignment. The correct plan assignment is critical to ensure accurate reporting. Contact the appropriate retirement system (PERS, SERS, TRS, LEOFF) or Employer Support Services (ESS) for assistance with verifying a plan assignment. Plan 1 is the only plan within DCP.

Determine the correct month to begin reporting the employee. If an employee first earns compensation in March, you would begin reporting the employee with a March earning period and begin date. The employee would be added to either the March or the April transmittal, depending upon your payroll cycle. (See the section called "Reporting to DRS" earlier in the chapter for information about payroll cycles.)

Adding a DCP Participant to the Transmittal

DRS currently informs employers when to start deducting DCP deferrals. DRS will distribute an official DRS report as notification to all employers except users of the Human Resources Information System Division (HRISD) payroll system. DRS informs employers and HRISD of the new participants' deferrals and or deferral amount changes via a paper or electronic report. This report replaces the PA form that DRS currently sends to employers as authorization (per the employee) for a new deduction amount.

Note: Employers should not establish a DCP deduction before receiving approval from DRS.

Completing the First Transmittal Report

The following information *must* be included on your transmittal report the first time you report an employee to DRS. The member's/participant's enrollment will not be completed until DRS has received this data. The transmittal system will reject any transactions for members whose information is incomplete on the transmittal report.

The four fields in each record which follow the record type identifier are common (*Key*) fields and are part of each record type. They are:

- Reporting Group Number;
- Reporting Period;
- Report Type; and
- Report Version Number.

Create the following record types the first time you report an employee:

Member Profile Record

— Record Type Identifier

Key

— Social Security Number

— Member/Participant Name Change Flag = Y

— Member/Participant Last Name

— Member/Participant First Name

— Member/Participant Middle Name*

— Member/Participant Name Extension*

— Member/Participant Name Title*

— Member/Participant Name Suffix*

— Address Change Flag = Y

— Address 1

— Address 2*

— Address 3*

— City

- State
- Zip Code
- Zip Code Extension*
- Gender
- Birth Date

* Optional

Employment Information Record

- Record Type Identifier

  Key

- Social Security Number
- System Code
- Plan Code
- Type Code
- Eligibility Start Date

Defined Benefit Record (not applicable for DCP)

- Record Type Identifier

  Key

- Social Security Number
- System Code
- Plan Code
- Type Code
- Earning Period
- Status Code
- Hours
- Days
- Compensation
- Employer Contributions
- Defined Benefit Member Contributions

Defined Contribution Record (For Plan 3 and DCP only)

- Record Type Identifier

Key

— Social Security Number

— System Code

— Defined Contributions/Deferrals

— Tax Status

— Investment Manager

— Rate Option

Note: Use this record only if a rate has been selected for Plan 3 or to report deferrals for a DCP participant. Employers should set up a deferral/payroll deduction only after receiving authorization from DRS.

Reporting a Member Transferring to Plan 3

Plan 2 members, who choose to transfer to Plan 3, may transfer only during the open enrollment period each January. Following are the initial Plan 3 transfer periods:

TRS—July 1, 1996, through December 31, 1997
SERS—September 1, 2000, through February 28, 2001

To report the transfer date, complete the information on the Plan 3 Transfer Record. The transfer date should be the same as the transfer date on the "Plan 3 Member Information" form.

Plan 3 Transfer Record

— Record Type Identifier
Key
— Social Security Number
— System Code
— Transfer Date

All information; e.g., Defined Benefit Record (DBR), must be reported in Plan 3, with the report that includes the transfer record.

Regular Transmittal Reporting

When submitting your regular transmittal report include the following:

- a summary record for each transmittal report (reporting group);

- defined benefit information for members of all systems and plans (not applicable for DCP); and
- defined contribution/deferral information for Plan 3 members and DCP participants.

Note: Use the other record types; e.g., member profile, employment information and transfer, only when necessary.

Separating Employees from the Transmittal Report

Use the Employment Information Record to submit the member's eligibility end date.

Terminating DCP Participation

Use the Employment Information Record to submit the participant's termination date (the employee's employment termination date).

Note: When a participant changes their deferral to zero, stop reporting the participant to DRS. (Do not report any type of date.) Upon termination, add the participant back on to the transmittal report to send the termination date.

Name and Address Changes

Name Information

When members or participants notify you of a name change, you should report the new information on the Member Profile Record of the transmittal report. Remember to report a "Y" for the Member/Participant Name Update Flag.

Address Information

When members or participants notify you of address changes, you should report the new address on the Member Profile Record of the transmittal report. Remember to report a "Y" for the Member/Participant Address Update flag.

Note: Active members' or participants' names and addresses can only be updated through the transmittal report.

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Single Record Layout Automated Reporting

Procedures for Single Record Layout (SRL) Reporting

The following pages provide general information about common procedures used in single record automated reporting. Because employers use various reporting options, these procedures may not describe the specific reporting procedures used by your agency. Please contact the appropriate staff in your agency or contact your service bureau for additional guidance for transmittal reporting procedures in your particular situation.

If you have other questions about how to accomplish automated reporting, refer to page 8—23 or contact ESS at (360) 664-7200 or 1-800-547-6657.

Note: Plan 3 and DCP deferral information cannot be reported via the SRL. Please refer to the MRL instructions.

Adding an Employee to the Regular Transmittal Report

When you hire a new employee who is eligible for retirement system coverage, or when an existing employee becomes eligible for retirement coverage, you must begin reporting the employee to DRS.

Before adding an employee

Verify the employee's plan assignment. The correct plan assignment is critical to ensure accurate reporting. Contact the appropriate retirement system (PERS, TRS, LEOFF) or ESS for assistance with verifying a plan assignment.

Determine the correct month to begin reporting the employee. If an employee first earns compensation in March, begin reporting the employee with a March earning period and begin date. The employee would be added to either the March or the April transmittal, depending upon your payroll cycle. (See the section called "Transmittal Reporting to DRS" in this chapter for information about payroll cycles.)

Completing the First Transmittal Report for a New Employee

The following information *must* be included on your regular transmittal report the first time you report a member. The member's enrollment will not be completed until DRS has received this data. The transmittal system will reject any transactions for members whose information is incomplete on the transmittal report.

The four fields in each record which follow the record type identifier are common (*Key*) fields and are part of each record type. They are:

- Reporting Group Number;
- Reporting Period;
- Report Type; and
- Report Version Number.

To report an employee, create a new detailed transaction record with information in each of the following fields:

—Record Type Indicator

Key

—Social Security Number

—Reporting Group Number

—Reporting Period

—Report Type

—Report Version Number

—System Code

—Plan Code

—Record Sequence Number

—Member Last Name

—Member First Name

—Member Middle Name*

—Earning Period

—Type Code

—Status Code

—Compensation

—Member Contributions

—Employer Contributions

—Hours/Days

—Begin Date

—Gender Code

—Birth Date

* Optional

To avoid an error, make sure you enter the employee's begin date, gender code, and birth date on a single line. Be sure the employee's begin date falls within the earning period shown on that line.

Reporting Additional Transaction Records

At times, you will need to add detailed transaction records to the regular transmittal report. You may have more than one earning period to report for an employee, or you may need to use additional status codes for your reporting.

When adding new transaction records to the *regular* transmittal report, be sure to:

- Enter information correctly in all the required detailed transaction fields.
- Adjust the summary record (or summary page) totals as necessary to reflect the changes you have made.

Separating an Employee

When an employee is no longer eligible for membership in a retirement system, stop reporting the employee to DRS. Use the regular transmittal report to separate the employee. You can also submit a correction report at any time during the month *after* the employee has separated and if all compensation, contributions and service have been reported.

When separating an employee, be sure to:

- report the correct earning period;
- enter status code S in the STATUS field;
- adjust the information in the COMPENSATION, MEMBER CONTRIBUTIONS, EMPLOYER CONTRIBUTIONS and HOURS/DAYS fields as necessary;
- enter the employee's last date of eligible employment in the END DATE field. Verify the end date you enter falls within the year and month of the earning period for this transaction record; and

Note: Create additional detailed transaction records if you need to report leave cashouts for the employee. (See Chapter 7, "Transmittal Codes," for details about using cashout codes.)

- adjust the summary record (or summary page) totals as necessary.

Technical Requirements

Overview

This section provides employers with information about how to report members and participants to DRS using an electronic format. DRS can accept two different layouts and several reporting media. The information in this section will help employers decide the best way for them to report retirement information and DCP deferral information to DRS.

This section describes:

- the two record layouts

  —Multiple Record Layout (MRL);
  —Single Record Layout (SRL)

- the automated reporting media DRS accepts and the data format options associated with this media;

- specific step by step information employers must follow to start using one of the automated reporting media accepted by DRS; and

- each field described/identified by record type.

If you change your reporting method, please contact ESS to arrange for a test of the new method *before* submitting a regular transmittal report via the new method.

If you need additional copies of this information, or if you have questions about the information, please contact ESS at (360) 664-7200 or 1-800-547-6657. This information can also be accessed on our DRS Web site at **www.wa.gov/drs/employer**.

The Multiple Record Layout

The Multiple Record Layout (MRL) is Year 2000 compliant and is the recommended layout for employers to use. This is the only layout employers can use to report Plan 3 members and DCP participants. Using MRL allows employers to update an employee's mailing address or name, eliminating the need to complete paper forms.

What the MRL Looks Like

The MRL report structure contains the following record types:

- Summary Record
- Member Profile Record
- Employment Information Record
- Defined Benefit Record (not used for DCP)
- Defined Contribution Record (use only for Plan 3 members and DCP participants)
- Plan 3 Transfer Record (use only for Plan 3 members)

The Member Profile Record, the Employment Information Record and the Plan 3 Transfer Record should be used only when necessary. More detail on the use of these records is provided in the record and field description areas of this document. Refer to the next page for a graphic view of the various records associated with the MRL.

Record Types of the Multiple Record Layout

The chart in Figure 8-10 provides an overview of the structure for the transmittal reporting records. Detailed layouts for each record follow:

Summary Record	Member Profile Record	Employment Information Record	Defined Benefit Record	Defined Contribution Record	Plan 3 Transfer Record
Record Type Identifier	RecordType Identifier	Record Type Identifier	Record Type Identifier	Record Type Identifier	Record Type Identifier
Reporting Group Number[1]	Key[2]	Key[2]	Key[2]	Key[2]	Key[2]
Reporting Period[1]	SSN	SSN	SSN	SSN	SSN
Report Type[1]	Member Name Change Flag[3]	System Code	System Code	System Code	System Code
Report Version Number[1]	Member Last Name[3]	Plan Code	Plan Code	Defined Contributions[3]	Transfer Date
Expected MonthlyReports	Member First Name[3]	Type Code	Type Code	Taxed/ Non Taxed Status	
Total Compensation	Member Middle Name[3]	Eligibility Start Date	Earning Period	Investment Program	
Total Member Contributions[3]	Member Name Extension[3]	Eligibility End/Term Date[3]	Status Code	Rate Option	
Total Employer Contributions	Member Name Title[3]	Disability/Leave/ Start Date[3]	Hours		
Total Hours Reported	Member Name Suffix[3]	Disability/Leave End Date	Days		
Total Records Reported	Address Change Flag	Control Number	Compensation		
Total Days Reported	Address Line 1	Organization Display	Employer Contributions		
	Address Line 2		Defined Benefit Member Contributions		
	Address Line 3				
	City				
	State				
	Zip Code				
	Zip Extension				
	Gender Code				
	Birth Date				

Figure 8-10

[1] These four data elements form the *key*, and are part of each record type.

[2] The *key*, which includes the four data elements noted in the summary record column under footnote 1 must be reported for each record type.

[3] Refer to each specific record type for the complete field name in order to reference the field descriptions that begin on page 8-53.

Note: The shaded record types do not apply to DCP.

Record Structure of the Multiple Record Layout

Listed below are some basic field requirements that you should be aware of:

- the four fields in each record which follow the record type identifier are common (key) fields and are part of each record type;
- field start and end information is given for employers who will be reporting with fixed length records;
- the maximum field length is shown in the “field length” column for tab-delimited records;
- only tab-delimited records or fixed length records are accepted;
- report signed negative and positive numbers;
- alpha fields must be left justified;
- alpha fields should be blank when not being used;
- numeric fields must be right justified;
- numeric fields should be zero filled when not being used; and
- zoned decimals are not accepted.

The charts on the following pages reflect field names, format and field length information for each record type within MRL.

The Summary Record

Summary Record Use

The summary record as shown in Figure 8-11, must be part of every transmittal report to DRS. You can send one file with multiple reports but each transmittal report must have a summary record. The reporting group number is the data element within the summary record that distinguishes one transmittal report from another. Some employers have more than one reporting group number; i.e., a city has a reporting group number for the Public Employees' Retirement System (PERS), and a reporting group number for the Law Enforcement Officers' & Fire Fighters' Retirement System (LEOFF). If you have employees who participate in the DCP, you will have a third reporting group number.

Summary Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Expected Monthly Reports	##	2	17	18
Total Compensation	+/-#########.##	13	19	31
Total Member Contributions/Deferrals	+/-#########.##	13	32	44
Total Employer Contributions	+/-#########.##	13	45	57
Total Hours	+/-#########.#	12	58	69
Total Records Reported	#######	7	70	76
Total Days	+/-#########.#	12	77	88

Figure 8-11

[1] These four data elements form the *key*, and are part of each record type.

The Member Profile Record

Member Profile Record Use

This record is required the first time you report an employee. This record is also used to report a change to a member's or participant's name, address, birth date or gender code. See Figure 8-12 for details.

Member Profile Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
Member/Participant Name Change Flag	Character	1	26	26
Member/Participant Last Name	Character	35	27	61
Member/Participant First Name	Character	35	62	96
Member/Participant Middle Name	Character	35	97	131
Member/Participant Name Extension	Character	3	132	134
Member/Participant Name Title	Character	5	135	139
Member/Participant Name Suffix	Character	5	140	144
Address Change Flag	Character	1	145	145
Address Line 1	Character	35	146	180
Address Line 2	Character	35	181	215
Address Line 3	Character	35	216	250
City	Character	35	251	285
State Code	Character	2	286	287
Zip Code	#####	5	288	292
Zip Code Extension	####	4	293	296
Gender Code	Character	1	297	297
Birth Date	yyyymmdd	8	298	305

Figure 8-12

[1] These four data elements form the *key*, and are part of each record type.

The Employment Information Record

Employment Information Record Use

This record is required the first time you report an employee, and the last time you plan to report an employee. The leave/disability start and end date fields are used to record disability leave periods for LEOFF members. Layout details are shown in Figure 8-13.

Employment Information Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number[1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
System Code	Character	1	26	26
Plan Code	#	1	27	27
Type Code	##	2	28	29
Eligibility Start Date	yyyymmdd	8	30	37
Eligibility End/Termination Date	yyyymmdd	8	38	45
Disability/Leave Start Date	yyyymmdd	8	46	53
Disability/Leave End Date	yyyymmdd	8	54	61
Control Number	Character	6	62	67
Organization Display	Character	6	68	73

Figure 8-13

[1] These four data elements form the *key*, and are part of each record type.

The Defined Benefit Record

Defined Benefit Record Use (Not Applicable for DCP)

This record should be on every report for each member who has been reported with a retirement eligibility start date by your organization. At least one defined benefit record per member must be reported for each earning period being reported. This should continue until a retirement eligibility end date is reported. Layout details are shown in Figure 8-14.

Defined Benefit Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
System Code	Character	1	26	26
Plan Code	#	1	27	27
Type Code	##	2	28	29
Earning Period	yyyymm	6	30	35
Status Code	Character	1	36	36
Hours	+/-###.#	6	37	42
Days	+/-##.#	5	43	47
Compensation	+/-#######.##	11	48	58
Employer Contributions	+/-#######.##	11	59	69
Defined Benefit Member Contributions	+/-#######.##	11	70	80

Figure 8-14

[1] These four data elements form the *key*, and are part of each record type.

The Defined Contribution Record

Defined Contribution Record Use

This record should be on each report for every Plan 3 member's retirement contribution or DCP participants' deferral information. For transferring members, the Defined Contribution Record, the Member Profile Record and the Plan 3 Transfer Record must be reported the first time you report a transferring member. There is no 90-day period provided for transferring members to make the rate option selection. See layout details in Figure 8-15.

Defined Contribution Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number[1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
System Code	Character	1	26	26
Defined Contributions/Deferrals	+/-#######.##	11	27	37
Taxed/Non-taxed Status	Character	1	38	38
Investment Program	Character	4	39	42
Rate Option	Character	1	43	43

Figure 8-15

[1] These four data elements form the *key*, and are part of each record type.

The Plan 3 Transfer Record

Plan 3 Transfer Record Use (Not Applicable for DCP)

This record should be part of each regular transmittal report for every Plan 2 transferring member who is being reported in Plan 3 for the first time. Without the transfer date, DRS will not move a Plan 2 member into Plan 3, and all of the reported information on the transmittal report will be rejected.

The Employment Information Record (when applicable) and the Defined Benefit Record should contain the number "3" in the plan code field and be included with the Member Profile Record on the transmittal report for each member being reported with a Plan 3 Transfer Record. Layout details are shown in Figure 8-16.

Plan 3 Transfer Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type Code[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
System Code	Character	1	26	26
Transfer Date	yyyymmdd	8	27	34

Figure 8-16

[1] These four data elements form the *key*, and are part of each record type.

The Single Record Layout

The Single Record Layout (SRL) is Year 2000 compliant, but Plan 3 members and DCP participants cannot be reported with this layout. For this reason, DRS recommends employers use the MRL.

What the SRL Looks Like

The SRL report structure contains the following record types:

- Summary Record
- Benefit Record

The SRL is organized as one record or transaction and one summary record. Every transmittal report must include the summary record and the benefit record(s) for each employee you report to DRS. Refer to the next page for a picture view of the different records associated with the SRL.

Record Types of the Single Record Layout

The chart in Figure 8-17 provides an overview of the structure for the transmittal reporting records. Detailed layouts for each record follow.

Summary Record	Benefit Record
Record Type Identifier	Record Type Identifier
Reporting Group Number	Social Security Number
Reporting Period	Reporting Group Number
System Code	Reporting Period
Report Type	Report Type
Report Version Number	Report Version Number
Expected Monthly Reports	System Code
Total Compensation	Plan Code
Total Member Contributions	Record Sequence Number
Total Employer Contributions	Member Last Name
Total Hours/Days Reported	Member First Name
Total Records Reported	Member Middle Name
	Earning Period
	Type Code
	Status Code
	Compensation
	Member Contributions
	Employer Contributions
	Hours/Days
	Begin Date
	End Date
	Gender Code
	Birth Date

Figure 8-17

Record Structure of the Single Record Layout

Listed below are some basic field requirements you should be aware of:

- field start and end information is given for employers who will be reporting with fixed length records;
- the maximum field length is shown in the “field length” column for tab-delimited records;
- only tab-delimited records or fixed length records are accepted;
- report signed negative and positive numbers;
- alpha fields must be left justified;
- alpha fields should be blank when not being used;
- numeric fields must be right justified;
- numeric fields should be zero filled when not being used; and
- zoned decimals are not accepted.

The charts on the following pages reflect field names, format and field length information for each record type within SRL.

The Summary Record

Summary Record Use

The summary record must be part of every transmittal report to DRS. You can send one file with multiple reports but each transmittal report must have a summary record. The reporting group number is the data element within the summary record that distinguishes one transmittal report from another. Some employers have more than one reporting group number; i.e., a city has a reporting group number for PERS and a reporting group number for LEOFF. If they have employees who participate in the DCP, they will have a third reporting group number. See Figure 8-18 for layout details.

Summary Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number	Character	6	2	7
Reporting Period	yyyymm	6	8	13
System Code	Character	1	14	14
Report Type	Character	1	15	15
Report Version Number	##	2	16	17
Expected Monthly Reports	##	2	18	19
Total Compensation	+/-#########.##	13	20	32
Total Member Contributions	+/-#########.##	13	33	45
Total Employer Contributions	+/-#########.##	13	46	58
Total Hours/Days	+/-#########.#	12	59	70
Total Records Reported	#######	7	71	77

Figure 8-18

The Benefit Record

Benefit Record Use

This record should be part of every transmittal report for each member who has been reported with a retirement eligibility start date by your organization. At least one benefit record per member must be reported for each earning period being reported. This should continue until a retirement eligibility end date is reported. See Figure 8-19 for layout details.

Benefit Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Social Security Number	#########	9	2	10
Reporting Group No.	Character	6	11	16
Reporting Period	yyyymm	6	17	22
Report Type	Character	1	23	23
Report Version Number	##	2	24	25
System Code	Character	1	26	26
Plan Code	#	1	27	27
Record Sequence Number	#######	7	28	34
Member Last Name	Character	35	35	69
Member First Name	Character	35	70	104
Member Middle Name	Character	35	105	139
Earning Period	yyyymm	6	140	145
Type Code	##	2	146	147
Status Code	Character	1	148	148
Compensation	+/-#######.##	11	149	159
Member Contributions	+/-#######.##	11	160	170
Employer Contributions	+/-#######.##	11	171	181
Hours/Days	+/-###.#	6	182	187
Begin Date	yyyymmdd	8	188	195
End Date	yyyymmdd	8	196	203
Gender Code	Character	1	204	204
Birth Date	yyyymmdd	8	205	212

Figure 8-19

Choose From Three Data Format Options

DRS will accept three different formats from automated systems. The chart in Figure 8-20 describes the typical system requirements used to produce transmittal reports in each format.

	ASCII text format — tab delimited	**ASCII text format — fixed length**	**EBCDIC format — fixed length**
Typical system requirements	PC-based spreadsheet or database programs	Mainframe or mini-computer systems Also PC-based database or spreadsheet programs	Mainframe or mini-computer systems

Figure 8-20

Choose From Two Reporting Media Options

DRS can process transmittal report information via electronic transmission or diskette. DRS recommends using the ASCII text format (tab delimited) if you currently use the paper report. This type of transmittal report can be created using spreadsheet software.

Electronic Reporting Choices

Employers can choose from two methods of electronic transmission:

- File Transfer Protocol (FTP); or
- dataset.

Reporting via FTP requires employers to use the ASCII text format. The FTP method allows employers to send their transmittal report over the Internet using FTP software.

Employers who choose to report via dataset must use the EBCDIC fixed length format. Employers must be able to transmit the transmittal report file directly to a system 390 mainframe in Olympia, and have an account with the Washington State Department of Information Systems (DIS).

Note: Employers who choose to report electronically must ensure DRS receives the DCP deferral dollars the same day as the electronic file.

Creating an ASCII Format Transmittal Report Using a Spreadsheet

Employers can use spreadsheet software and a personal computer to create a file containing their detailed transmittal report transactions, and summary record. The file must be saved as ASCII text, in tab delimited format. This type of file can be submitted via diskette or FTP (one of the electronic transmission methods).

The samples in Figures 8-21, 8-22 and 8-23 reflect how a regular transmittal report created with a spreadsheet may appear.

Points for use in creating a spreadsheet

- By using the record type identifier "L," you can create headings to help you use your spreadsheet. The DRS system will not process information in any row with an L in the Record Type Indicator field. (See the description of the Record Type Identifier field on page 8—72.)

- Many spreadsheets will delete leading zeroes from numbers you enter. (For instance, the zero will be removed from 07.) As long as you are reporting in ASCII text, tab delimited format, DRS can read these fields, even if the leading zeroes do not appear. You may encounter this with fields such as Report Version Number, Expected Monthly Reports, Social Security Number or Type Code, among others.

- If you would like to have leading zeroes show on your spreadsheet, review the features of your spreadsheet application to determine how to reformat the way numbers are displayed in the cells.

- Because there are more fields in the detailed records than in the summary record, the columns do not need to line up. (See Figures 8-21, 8-22 and 8-23.)

- When the monthly transmittal report is complete, save your file as ASCII text, with tab delimiters. Follow the instructions provided with your software to save the file in this format.

Note: Refer to the field descriptions on page 8—53 for complete field names. Field headings in Figures 8-21, 8-22 and 8-23 are abbreviated.

MRL ASCII Tab Delimited Format - Using a Spreadsheet—TRS Report

Totals appear here for these columns of detailed information

L Summary Record

L L	Report Group	Report Period	Rpt Type	Rpt Ver	Exp	Total Comp	Total Mem Contrib	Total Emp Contrib	Total Hours	Total Records	Total Days
S	000001	199807	R	01	01	4000.00	260.00	477.20	160.0	0000006	20.0

L Member Profile Record

L L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	Name Change	Last Name	First Name	Middle Name	Name Extension	Name Title	Name Suffix	Address Change	Address Line 1	Address Line 2	Address Line 3	City	State	Zip Code	Zip Ext	Gen	Birth Date
M	000001	199807	R	01	1555378888	Y	Mer	Iona	B				Y	PO Box 111			Olympia	WA	98504	8380	M	19580204

L Employment Information Record

L L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Plan	Type Code	Start Date	End Date	Dis Start	Dis End	Control Number	Org Display
E	000001	199807	R	01	888526644	T	1	71	19980705					

L Defined Benefit Record

L L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Plan	Type Code	Earn Period	Status Code	Hours	Days	Member Comp	Employer Contrib	Def Bene Contrib
B	000001	199807	R	01	888526644	T	1	71	199807	A		20.0	2000.00	238.60	120.00
B	000001	199807	R	01	555678888	T	3	71	199807	A	160.0		2000.00	238.60	

L Defined Contribution Record

L L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Def Contrib	Tax Status	Invest Prgm	Rate Option
C	000001	199807	R	01	555378888	T	140.00		WSIB	D

L Transfer Record

L L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Transfer Date
T	000001	199807	R	01	555378888	T	19980115

Figure 8-21

MRL ASCII Tab Delimited Format - Using a Spreadsheet—DCP Report

Total deferrals appear here for the detailed information

L

Summary Record

L	Report Group	Report Period	Rpt Type	Rpt Ver	Exp	Total Comp	Total Deferrals	Total Emp Contrib	Total Hours	Total Records	Total Days
S	899Z99	200010	R	01	01	0000000.00	540.00	000000.00	00000.00	0000008	000000.00

L

Member Profile Record

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	Name Change	Last Name	First Name	Middle Name	Name Extension	Name Title	Name Suffix	Address Change	Address Line 1	Address Line 2	Address Line 3	City	State	Zip Code	Zip Ext	Gen	Birth Date
M	899Z99	200010	R	01	123768888	N	Mer	Iona	B				Y	PO Box 111			Olympia	WA	98504	8380	F	19580204
M	899Z99	200010	R	01	987561234	N	Reilly	Dawn	A				Y	123 First Ave			Olympia	WA	98506		F	19620524

L

Employment Information Record

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Plan	Type Code	Start Date	End Date	Dis Start	Dis End	Control Number	Org Display
E	899Z99	200010	R	01	032556606	D	1	00	20001002		00000000	0000000		
E	899Z99	200010	R	01	321568822	D	1	00	20001002					

L

Defined Benefit Record

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Plan	Type Code	Earn Period	Status Code	Hours	Days	Member Comp	Employer Contrib	Def Bene Contrib

L

Defined Contribution Record

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Deferral Amount	Tax Status	Invest Prgm	Rate Option
C	899Z99	200010	R	01	123768888	D	140.00			
C	899Z99	200010	R	01	032556606	D	50.00			
C	899Z99	200010	R	01	321568822	D	100.00			
C	899Z99	200010	R	01	987561234	D	250.00			

L

Transfer Record

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Transfer Date

Figure 8-22

Note: There should be no transactions in the Defined Benefit Record or the Transfer Record if reporting deferrals for participants of the Deferred Compensation Program. These records should not be included in the file.

SRL ASCII Tab Delimited Format - Using a Spreadsheet—PERS Report

Summary Record

L	Report	Report		Report	Rpt		Total	Total Mem	Total Empl	Total	Total
L	Group	Period	System	Type	Ver	Exp	Comp	Contrib	Contrib	Hrs/Days	Records
S	2483	199807	P	R	01	01	28443.11	1322.61	2133.23	1559.7	0000009

Totals appear here for these columns of detailed information

Detailed Transmittal Transactions

L		Report	Report	Report	Rpt											Mem	Empl	Hrs/				
L	SSN	Group	Period	Type	Ver	Sys	Plan	Sequence	Last Name	First Name	Mid Name	Earn Per	Type	Status	Comp	Contrib	Contrib	Days	Begin Date	End Date	Gen	Birth Date
T	666000000	2483	199807	R	01	P	2	0000001	Becky	John	Adam	199807	07	A	1749.77	81.36	131.23	173.3				
T	666001111	2483	199807	R	01	P	2	0000002	Patters	James	Monroe	199807	07	A	2384.41	113.88	178.83	173.3				
T	666002222	2483	199807	R	01	P	2	0000003	Pot	Marcus	Miller	199807	07	A	2201.00	102.35	165.08	173.3				
T	666003333	2483	199807	R	01	P	2	0000004	Preach	Fredricke	Xavier	199807	07	S	3564.03	165.73	267.30	173.3		19980630		
T	666004444	2483	199807	R	01	P	2	0000005	Jool	Michael		199807	07	A	2563.00	119.18	192.23	173.3				
T	666005555	2483	199807	R	01	P	2	0000006	Pert	Raymond	Stuart	199807	07	A	2381.64	110.75	178.62	173.3				
T	666006666	2483	199807	R	01	P	2	0000007	Some	David	Michael	199807	07	A	3432.47	159.61	257.44	173.3				
T	666007777	2483	199807	R	01	P	2	0000008	Sea	Fenny	Y	199807	07	A	5833.34	271.25	437.5	173.3				
T	666008888	2483	199807	R	01	P	2	0000009	Reilley	Stephen	Francis	199807	07	A	4333.34	201.50	325.00	173.3	19980601		M	19630327

Figure 8-23

Reporting by Diskette

How to Submit a Transmittal Report on Diskette

To submit your transmittal report by diskette, create a single electronic file containing your detailed transmittal transactions and the summary record information. Save the file on a diskette. Mail the diskette to DRS so that it is received by the due date.

What You Can Report by Diskette

A diskette can be used to submit:

- regular transmittal reports; and
- correction transmittal reports (does not apply to DCP reporting).

What You Will Need

To report by diskette you will need:

- a personal computer or other computer;
- the ability to save your transmittal report as an electronic file in one of the formats DRS can accept. (If you use a spreadsheet or other program to prepare your payroll, you may already be able to save data in one of the ASCII formats described beginning on page 8—39); and
- a completed DRS Data Sharing Agreement.

Note: DRS can accept only 3.5-inch diskettes formatted for PC.

Advantages of Reporting by Diskette

Reporting by diskette allows you to eliminate the time and costs of preparing a paper report. By limiting the manual intervention involved in submitting your retirement or DCP deferral information on paper, you increase the potential for accuracy.

How To Start Reporting via a Diskette

Step 1—Complete a DRS Data Sharing Agreement

Before reporting via diskette, you will need to complete a Data Sharing Agreement with DRS. This agreement spells out the responsibilities of both parties who are sharing data. Call ESS at (360) 664-7200 or 1-800-547-6657 and an agreement form will be sent to you.

Step 2—Prepare Your Transmittal Information

The preliminary step of preparing your transmittal information is the same for diskette reporting as for any other method. You will use your payroll information to determine the detailed transmittal reporting transactions you need to report to DRS.

Step 3—Create a Summary Record

Each report to DRS includes two parts:

- the detailed transmittal report transactions for each member; and
- the summary record totals (such as compensation and contributions) that equal the sum of the detailed transactions.

After you have determined the detailed transactions you need to submit to DRS, create a summary record to include with your detailed transactions.

Step 4—Create an Electronic File of Your Transmittal Report

Save both the detailed transactions and your summary record in a single electronic file. You may place the summary record at either the beginning or the end of the file.

Note: The data format options DRS will accept are described on page 8—38. The formats standardize the order of the data in your transmittal report so that DRS can read your electronic file and process the transactions. Your choice will be based on the type of hardware and software you have available.

Step 5—Name Your File

See Figure 8-24 for an example of naming your electronic files using the following convention:

- the first 4 characters indicate the employer's organization number which is assigned by DRS. If you do not know your organization number, contact ESS at (360) 664-7200 or 1-800-547-6657;
- the next 4 characters should reflect the month and version number; and
- the three-character extension indicates format of the data.

—TAB for ASCII tab delimited format
—FIX for ASCII fixed length format

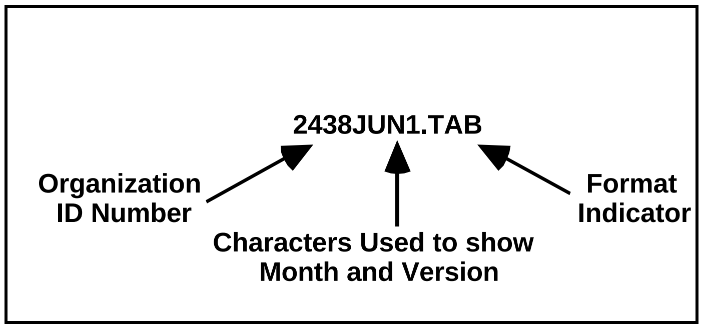

Figure 8-24

Step 6—Prepare Your Diskette

Save your transmittal report on a diskette as one file (you can combine more than one report in your file). Send only the current month's report. If you have used the diskette for previous reports, delete any old information still stored on the diskette.

Step 7—Label the Diskette

Each diskette you send to DRS must have an outside label. Include the following information on the label:

- employer name;
- employer address;
- DCP report or retirement report;
- file name for the electronic file on the diskette;
- report period; and
- your DRS-assigned organization ID. If you need to verify your organization ID, contact ESS at (360) 664-7200 or 1-800-547-6657.

Step 8—Address and Mail Your Diskette

Be sure to use appropriate packaging to ensure that your diskette is not damaged. The address for mailing will depend upon the carrier you use.

Retirement Systems

Federal Express or United Parcel Service	*United States Postal Service*
DRS Transmittal Unit 6835 Capitol Blvd. Tumwater, WA 98501	DRS Transmittal Unit P.O. Box 48380 Olympia, WA 98504-8380

DCP

Be sure to use appropriate packaging to ensure that your diskette is not damaged. The address for mailing the diskette and associated payment will depend upon the carrier you use.

Federal Express or United Parcel Service	*United States Postal Service*
Dept. of Retirement Systems 6835 Capitol Blvd. Tumwater, WA 98501	Dept. of Retirement Systems P.O. Box 9018 Olympia, WA 98507-9018

Note: The diskette and Payment Advice form must be mailed together.

Step 9—Submit a Test Diskette

If you are changing to diskette reporting from another method, contact ESS so they can work with you to send a test diskette. ESS will pre-edit the test file to ensure the file can be read and that the data is in the correct format. You should continue to submit transmittal reports using your current method until you are notified by ESS of a successful test. *Test file names should include the word test after your organization id: 2438TEST.TAB or 2438TEST.FIX.*

Step 10—Begin Regular Reporting by Diskette

Once a test is successful, you will be notified that you can begin using a diskette to send transmittal reports. ESS will return your diskette after each monthly transmittal report has been processed.

Reporting Via FTP

How to Report via FTP

To submit a transmittal report via FTP, create a single electronic file containing both the detailed transmittal report transactions and the summary record information. Save the file and transmit to DRS by the due date. For DCP, transmit to DRS by payday or sooner, if possible.

What You Can Report Via FTP

You can use FTP to submit:

- regular transmittal reports; and
- correction transmittal reports (does not apply to DCP reporting).

What You Will Need

To submit via FTP you need:

- computer hardware and software that can prepare an electronic file in the required data format;
- an Internet connection with FTP software; and
- a completed DRS Data Sharing Agreement.

Advantages of FTP Reporting

FTP reporting allows you to eliminate the time and costs of mailing a diskette or manual (paper) report. FTP reporting also allows DRS to update members' and participants' accounts and respond to your transmittal report more effectively.

Getting Started with FTP Reporting

Step 1—Establish a DRS user ID

FTP transmittal reporting requires employers to establish a user ID with DRS and to provide an Internet e-mail address. Call ESS at (360) 664-7200 or 1-800-547-6657 to begin the process of establishing a user ID.

Step 2—Complete a DRS Data Sharing Agreement

Before reporting via FTP, you will need to complete a Data Sharing Agreement with DRS. This agreement spells out the responsibilities of both parties when sharing data. Call ESS for an agreement form.

A security profile (includes your user ID, password and directory path/location you will transmit your file to) is necessary in order for DRS to accept your electronic file via FTP. Upon receipt of the signed data sharing agreement, your security profile will be established.

Step 3—Prepare Your Transmittal Information

The preliminary step of preparing your transmittal reporting information is the same for FTP reporting as for any other method. You will use your payroll information to determine the detailed regular transmittal reporting transactions you need to submit to DRS.

Step 4—Create a Summary Record

Each transmittal report to DRS includes two parts:

- the detailed transmittal reporting transactions for each member or participant; and
- the summary record totals (such as compensation and contributions) that equal the sum of the detailed transactions.

After you have determined the detailed transactions you need to transmit to DRS, create a summary record to include with your detailed transactions.

Step 5—Create an Electronic File of Your Transmittal Report

Save both the detailed transactions and the summary record in a single electronic file. You may place the summary record at either the beginning or the end of the file.

Note: The data format options DRS will accept are described on page 8—38. The formats standardize the order of the data in your report so that DRS can read your electronic file and process the transactions. Your choice will be based on the type of hardware and software you have available.

Step 6—Name Your FTP File

See Figure 8-26 for an example of naming your electronic files using the following convention:

- the first four characters indicate the organization identification number assigned by DRS. If you do not know your organization ID, contact ESS at (360) 664-7200 or 1-800-547-6657;
- the next four characters should reflect the month and version number; and
- the three-character extension indicates format of the data.

—TAB for ASCII tab delimited format
—FIX for ASCII fixed length format

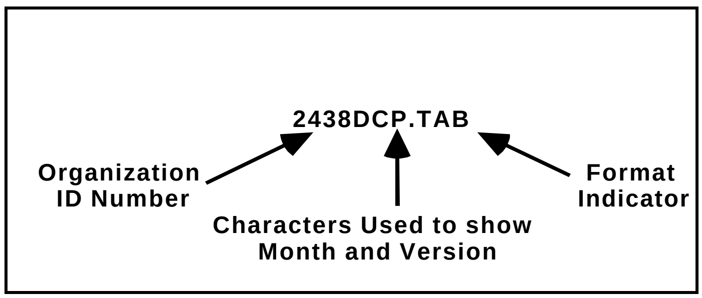

Figure 8-25

Step 7—Submit a Test FTP file to DRS

If you are changing to FTP reporting from another method, contact ESS so they can work with you to send a test file. ESS will pre-edit the test file to ensure the file can be read and the data is in the correct format. You should continue to submit the monthly transmittal report using your current method until you are notified by ESS of a successful test. *Test file names should include the word test after your organization id: 2438TEST.TAB or 2438TEST.FIX.*

Step 8—Begin Reporting via FTP

Once a test is successful, you will be notified that you can begin using FTP to send transmittal reports. Each weeknight, DRS will search your directory for files with appropriate file names. DRS will process the file the evening of the day you transmit the file. To confirm receipt of the file, DRS generates an E-mail message to you by the end of the day in which you sent your file.

After the file is processed, DRS will delete the file from your assigned directory. If you discover the file you sent has an error, re-transmit a correct file with the same file name and it will replace the original file you sent if the original file has not been processed. (Processing begins at 5 p.m. Pacific Standard Time.) DCP reports must be received by 9 a.m. Pacific Standard Time or they will be processed the following day.

Reporting via Dataset

How to Report via Dataset

To submit your transmittal report via dataset, create a single electronic file containing both detailed transactions and the summary record information. Save the file and transmit the file to DRS by the due date.

What You Can Report via Dataset

You can use a dataset to submit:

- regular transmittal reports; and
- correction transmittal reports (does not apply to DCP reporting).

What You Will Need

To submit datasets you will need:

- computer hardware and software that can prepare a dataset in the necessary data format;
- a DIS account;
- a completed DRS Data Sharing Agreement; and
- the ability to transmit datasets to the DIS IBM System 390 MVS mainframe computer in Olympia if the dataset is created on your own computer, or create the dataset on the DIS computer. The dataset method of electronic transmittal reporting is recommended only for an employer who has already established an account with DIS.

Advantages of Dataset Reporting

Dataset transmittal reporting allows you to eliminate the time and costs of mailing a diskette or paper report. Dataset reporting also allows DRS to update members' and participants' accounts and respond to your regular transmittal report more effectively.

Getting Started with Dataset Reporting

Step 1—Establish a DIS Account

Before you can send transmittal reports via dataset, you must have an account with DIS. A DIS-provided user ID is also needed to create a dataset on the DIS mainframe. This account and user ID are separate from any agreements with DRS. If you do not already have an account with DIS, call ESS at (360) 664-7200 or 1-800-547-6657 to begin the process.

Step 2—Complete a DRS Data Sharing Agreement

Before reporting via dataset, you will need to complete a Data Sharing Agreement with DRS. This agreement spells out the responsibilities of both parties who are sharing data. Contact ESS at (360) 664-7200 or 1-800-547-6657 and an agreement form will be sent to you.

Once DRS has received a signed Data Sharing Agreement, your security profile will be established. A security profile is necessary for DRS to accept your electronic file via dataset.

Step 3—Prepare Your Transmittal Information

The preliminary step of preparing your transmittal report information is the same for dataset reporting as for any other method. You will use your payroll information to determine the detailed transmittal reporting transactions you need to submit to DRS.

Step 4—Create a Summary Record

Each transmittal report to DRS includes two parts:

- the detailed transmittal report transactions for each member or participant; and
- the summary record totals (such as compensation and contributions) that equal the sum of the detailed transactions.

After you have determined the detailed transactions you need to transmit to DRS, create a summary record to include with your detailed transactions.

Step 5—Create an Electronic File of Your Transmittal Report

Save both the detailed transactions and the summary record in a single electronic file. You may place the summary record at either the beginning or the end of the file. The EBCDIC data format must be used to report via the dataset method.

Note: The data format options DRS will accept are described on page 8—38. The formats standardize the order of the data in your report so that DRS can read your electronic file and process the transactions. Your choice will be based on the type of hardware and software you have available.

Step 6—Name Your Dataset

See Figure 8-26 for an example of naming your dataset using the following convention:

- The file name must begin with the following two qualifiers: INPES124.PC860030. Be sure to include a period between each qualifier.

- Begin the next qualifier with an E. The following four digits are the employer's organization number which is assigned by DRS and is part of the data sharing agreement.

- You have the option of using additional qualifiers to identify your dataset. Each qualifier can be up to eight characters, and must start with an alpha/numeric character. Separate each qualifier with a period. The total length of the name must not be more than 44 characters.

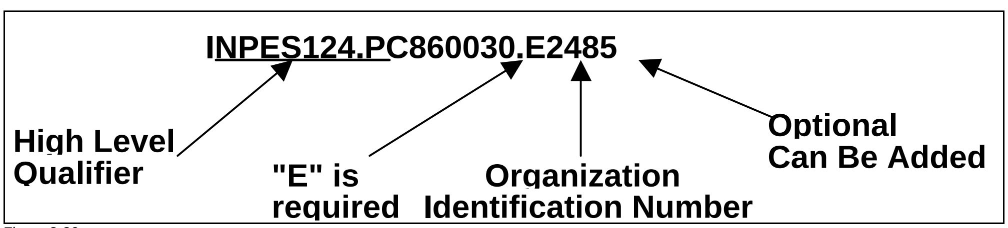

Figure 8-26

Step 7—Submit a Test Dataset to DRS

If you are changing to dataset reporting from another method, contact ESS so they can work with you to send a test file. ESS will pre-edit the test file to ensure the file can be read and the data is in the correct format. You should continue to submit the monthly transmittal report using your current method until you are notified by ESS of a successful test. *Test file names should include PC8400 after INPES124: INPES124.PD8003.E2485.*

Step 8—Begin Reporting by Dataset

Once a test is successful, you will be notified that you can begin using datasets to send transmittal reports. Each weeknight, DRS will search for datasets with appropriate file names. DRS processing begins at 5 p.m. Pacific Standard Time. DCP reports must be received by 9 a.m. Pacific Standard Time or they will be processed the following day.

Field Descriptions

Below are the descriptions of each field within the transmittal report. The fields are listed in alphabetical order. The fields that are contained in more than one record type are identified with **.

Address Change Flag

Use "Y" to update a member's or participant's mailing address or report "N" if you have included address information, but do not want to update the DRS member database.

Address Lines

Three fields are provided for mailing address information.

Begin Date

Use this field to report the date a member begins employment that is eligible for retirement system coverage. The begin date should only be submitted on the first transmittal report. (See the note for LEOFF members below.) To avoid reported data being rejected, the first time you report an employee who is eligible for retirement system membership, ensure a valid begin date, gender code and birth date are on the transmittal report.

If the employee needs to complete an Enrollment Form, make sure the begin date you submit on the transmittal report matches the date you enter on the form under the heading "First Date of Employee Eligibility."

Note: For LEOFF employers—This field is also used to indicate the date a LEOFF Plan 1 member begins an authorized disability leave of more than three days. It is also used to indicate the date a LEOFF Plan 1 or Plan 2 member begins leave without pay of more than three days. Status code E for Plan 1 and status code B for Plan 2 must be reported with the begin date (SRL only).

Birth Date

Use this field to provide the member's or participant's birth date.

City

Use this field to report the name of the city within the mailing address for the member or participant.

Compensation

In general, the salaries or wages earned by a member for personal services during a calendar month, payroll period, or fiscal year are reported as compensation. Each retirement system and plan has different requirements for reporting compensation.

Control Number

Use this field to indicate how you want DRS to sequence members' annual statements (these statements are mailed to employers for distribution to members). The Reporting Group, Control Number and the last name of a member are the three qualifiers used by DRS for sequencing the statements. The organizational display number can be used in conjunction with the control number for display purposes only. (See section on "Sequencing Information" for further information.)

Days

For TRS Plan 1 members, service is reported in days. Use this field to report the days the TRS Plan 1 member worked during the earning period being reported. Days must be reported to the nearest tenth.

Defined Benefit Member Contributions

Member contributions for members of systems and plans other than Plan 3 must be reported in this field. (Plan 3 member contributions are reported as part of the defined contribution record.)

Contributions must be the product of the following calculation:

> contributions = (compensation) x (member contribution rate), calculated to four decimal points and rounded to two decimal points.

Refer to Chapter 6 for rate tables showing which rates apply to each earning period.

Defined Contributions/Deferrals

Use this field to report member contributions for Plan 3 members and deferrals for DCP participants. Once a member transfers to Plan 3 all member contributions should be reported in Plan 3—including any contributions on earnings as a Plan 2 member.

- **When to begin reporting defined contributions**

  Plan 3 members can take up to 90 days to select their rate option. Because of this, member contributions may not be reported on the first monthly transmittal report. Member contributions must be deducted in the payroll cycle the 90^{th} day falls in or when the member selects a rate option, whichever occurs first.

  Note: Employers must pay employer contributions into the defined benefit portion of Plan 3 from the first day of the employee's employment in an eligible position.

  Plan 2 members who choose to transfer to Plan 3 must select their rate option at the same time they choose to transfer. This is true even if the member is on a leave of absence. The rate option and the investment program selected by the member must be reported on the same transmittal report as the transfer date. This requirement allows the member's Plan 2 contributions to be forwarded to the investment program they selected.

- **What rate to use when computing defined contributions**

  All defined contributions for members in Plan 3 must be calculated on the rate in effect at the time the compensation is paid. If you need to adjust contributions previously paid, base your corrections on the contribution rate in effect when the original compensation was paid.

- **When to begin reporting deferrals**

  DRS will notify an employer when to begin (pay date) deferring for each employee who chooses to become a DCP participant. When a participant changes his or her deferral amount, DRS will provide the effective (first pay date) date to an employer.

Disability/Leave End Date

Use this field to report the disability/leave end date. Disability leave and other types of leave for LEOFF members must be reported if the period of leave exceeds three days.

Disability/Leave/Start Date

Use this field to report the disability/leave start date. Disability leave and other types leave for LEOFF members must be reported if the period of leave exceeds three days.

Earning Period

The earning period is the year and month in which the compensation was earned. Only one earning period can be reported per transaction. Create transactions for each earning period that needs to be reported.

Eligibility End/Termination Date

Use this field to report the termination date for members and participants on the last transmittal report you expect to use for a member or participant.

- Retirement Systems

  Use this field to report the date a member ends employment that is eligible for retirement system coverage. This date may be equal to the employment termination date or an earlier date if the employee is originally hired into an eligible position and later moves into an ineligible position. This date should be on the last transmittal report you expect to use for a member.

- Deferred Compensation Program

  Use this field to report the date a participant terminates employment. This includes participants who have previously suspended their deferrals.

Eligibility Start Date

- Retirement Systems

  Use this field to report the date a member begins employment that is eligible for retirement system coverage. This date may be equal to the employment start date, or a later date if the employee is originally hired into an ineligible position and later is hired into an eligible position. This date must be on the transmittal report for each member you are reporting for the first time. If you report a member without an eligibility start date, all of the information on the transmittal report will be rejected.

- Deferred Compensation Program

  Use this field to report the first payday that an employee has a DCP deduction (deferral) taken from his or her compensation.

Employer Contributions

Employer contributions are due on all compensation reported for each earning period.

Contributions must be the product of the following calculation:

> contributions = (compensation) x (employer contribution rate), computed to four decimal points and rounded to two decimal points.

Refer to Chapter 6 for rate tables showing which rates apply to each earning period.

End Date

Use this field to report the date a member ends employment that is eligible for retirement system coverage. The end date should only be submitted on the last transmittal report. (See the note for LEOFF members below.)

When separating a member from the transmittal report, report the end date and status code S. The year and month of the earning period on the report transaction must match the year and month of the end date.

Note: For LEOFF employers—This field is also used to indicate the end date of an authorized disability leave of more than three days for LEOFF Plan 1 members. It is used to indicate the end date for leave without pay of more than three days for LEOFF Plan 1 or Plan 2 members. Status code E for Plan 1 and status code B for Plan 2 must be reported with the end date.

Expected Monthly Reports

- Employers who are not using the multiple reporting option should always enter 01 in the Expected Monthly Reports field.

- Employers using the multiple reporting option must use the Report Version Number and Expected Monthly Reports fields to identify which report this is in the month's sequence of reports.

Example: 01 of 02 (first report of two expected reports for the month). Refer to report version number definition.

- Employers submitting a correction report should always enter 01 in the Expected Monthly Reports field.

Note: Employers who participate in DCP and have more than one pay date in a month must submit a DCP report for each payday. (DRS does not want employers who have a bi-weekly payroll system to send more than two reports in a month.)

Gender Code

Use this field to provide the member's gender. Valid values: F or M

Hours

For all retirement systems and plans except TRS Plan 1, service is reported in hours. Use this field to report the hours the member worked during the earning period being reported. Hours must be reported to the nearest tenth.

Hours or Days

Report the number of hours or days for which a member receives compensation. Hours or days must be reported to the nearest tenth.

Note: All systems except TRS Plan 1 report hours. Days should be reported for TRS Plan 1 members.

Investment Program

Fill this field with the code "WSIB" to direct member contributions to the Washington State Investment Board.

Fill this field with the code "SELF" to direct member contributions to the Self-Directed Investment Program.

Note: If a non-transferring Plan 3 member fails to select an investment program within 90 days of eligibility, your system must report "WSIB."

Member Contributions

Member contributions are due on all compensation reported for each earning period.

Contributions must be the product of the following calculation:

> contributions = (compensation) x (member contribution rate), calculated to four decimal points and rounded to two decimal points.

Refer to Chapter 6 for rate tables showing which rates apply to each earning period.

Member/Participant Name Change Flag

Use “Y” to update the member’s or participant’s name or report “N” if you have included name information, but do not want to update the DRS member database.

Member/Participant Name Extension

Use this field to provide the legal extension of the member’s or participant’s name, such as III, Sr. or Jr. Do not report extensions earned through education; i.e., Dr., DDM.

Member/Participant Name—Last/First/Middle

The name identifies the employee being reported. Three fields (Last Name, First Name, Middle Name) can be used to report the name. The middle name is not required.

Member/Participant Name Suffix

Use this field to report any additional initials or abbreviation indicating degrees earned through the educational process, such as “Ph.D.”

Member/Participant Name Title

Use this field to report a formal name or abbreviation used in front of the full name, such as “Dr.” or “Rev.”

Organization Display

Use this field in conjunction with the Control Number field for purposes of managing the distribution of annual statements. DRS displays the information in this field on the bottom of the member's annual statement.

Plan Code**

Use this field to provide the plan number of the system in which the member or participant participates. Valid values: 1, 2, or 3.

Rate Option

There are currently six rate options: A, B, C, D, E or F. Fill this field with the applicable value, to indicate the rate option the Plan 3 member has selected.

Note: If a non-transferring member fails to select a rate option within 90 days of eligibility, your system must report A.

- **Option B and C—coordinating rate changes with birth dates**

  For members choosing options B and C, rates must increase following the 35th and 45th birthdays. If a rate change is necessary following a member birthday, you will begin using the new rate on the first of the following month.

  Example: if a member who has chosen option B turns 35 on January 15, you will deduct 6 percent contributions for all reportable compensation beginning on February 1.

Record Sequence Number

The record sequence number identifies the order of transaction entries on the transmittal report. Sequence numbers must be listed in ascending order. Sequence numbers within one retirement plan cannot be duplicated.

Record Type Identifier

Each record has a unique record type identifier. If you are using a spreadsheet to create the transmittal report or the file contains rows that are not filled with transmittal report data (such as column headings), mark them with "L" so the DRS system will not read them as data. See Figures 8-21, 8-22 and 8-23 on pages 8—40, 8—41 and 8—42.

B—to identify the Defined Benefit Record.
C—to identify the Defined Contribution Record.
E—to identify the Employment Information Record.
L—to identify rows with column headings or rows you do not want DRS to process.
M—to identify the Member Profile Record.
S—to identify the Summary Record.
T—to identify the Plan 3 Transfer Record.

Report Type**

This field is used to indicate whether the report is a regular transmittal report or a correction report. Valid values: R, C.

R—Regular transmittal report

C—Correction report (Does not apply to DCP.)

You may always include correcting transactions within your regular transmittal reports. In addition, DRS will accept separate correction reports. This allows you to submit correcting transactions any time during a month. Use the Report Type field to identify the type of report you are submitting.

Report Version Number**

DRS can arrange for employers who report electronically to submit multiple regular transmittal reports for each calendar month. The Report Version Number and Expected Monthly Reports fields identify the expected number of regular transmittal reports for a specific month.

Note: To use the multiple reporting option you must make prior arrangement with DRS. For additional information, contact the ESS at (360) 664-7200 or 1-800-547-6657.

- Employers who are not using the multiple reporting option should always enter 01 in the Report Version Number field.

- Employers using the multiple reporting option must use the Report Version Number to identify which transmittal report this is in the month's sequence of reports.

  Example: 01 of 02 (first report of two expected reports for the month). Refer to Expected Monthly Reports definition.

- Employers submitting a correction report should always enter 01 in the Report Version Number field. (Correction reports are given version numbers by the DRS system.)

Note: Employers who participate in DCP and have more than one pay date in a month must submit a DCP report for each payday. (DRS does not want employers who have a bi-weekly payroll system to send more than two reports in a month.)

Reporting Group Number**

This is a DRS-assigned number and is system specific. An employer who participates in multiple systems has a specific department number for each system.

- Fixed length ASCII format—The field length must be 6 characters. If the reporting group number is less than 6 characters long, add blank spaces at the end. <u>Example</u>: 9076 ~~bb~~.

Reporting Period**

The reporting period identifies the year and month of the transmittal report. The same reporting period should be used for all entries within the report.

Social Security Number (SSN) **

The member's Social Security number must be 9 digits in length. The Social Security number entered on the transmittal report must match the number on the employee's Social Security card.

State

Use this field to report the state abbreviation within the mailing address.

Status Code

Status codes identify the status of the compensation, contributions, and hours or days being reported for a member. Only one status code can be reported per transaction. If more than one status code needs to be reported for a member, use additional transactions for each status code.

System Code**

The system code identifies the system being reported.

Taxed/Non-taxed Status

Fill this field with a "T" to indicate that member contributions are taxed. Leave the field blank if the member contributions are deferred from federal income tax.

Total Compensation

Enter the grand total (sum of the transactions within either the benefit record or defined benefit record) of member compensation for all plans reported on the transmittal report.

Total Days

Enter the grand total of days for TRS Plan 1 members reported within the Defined Benefit Record.

Total Employer Contributions

Enter the grand total (sum of the transactions within either the benefit record and/or the defined benefit record) of employer contributions for all plans reported on the transmittal report.

Total Hours

Enter the grand total of hours for all plans (except TRS Plan 1) reported within either the Defined Benefit Record.

Total Hours/Days

Enter the grand total of hours/days for all plans within the Benefit Record. For TRS employers, Plan 1 members are reported with days, Plan 2 and Plan 3 members are reported with hours. If both plans are included on a transmittal report:

1. Total the days for the Plan 1 members and separately total the hours for Plan 2 and Plan 3 members.

2. Take the Plan 1 days total, and add that figure to the Plan 2 and Plan 3 hours total. Do *not* convert days to hours or hours to days.

Note: This total is used in a balancing process to verify data transmitted in the reporting process; this total does not affect service posted to members' accounts.

Total Member Contributions/Deferrals

Enter the grand total of member contributions for all plans included in the detailed transactions on the transmittal report. Include member contributions from both the Defined Benefit Record and the Defined Contribution Record if you use the MRL. The sum of all DCP participant deferrals should be entered in this field. If you are using the SRL, the sum of all detailed transactions in the Benefit Record should be reflected in this field.

Total Records Reported

Enter the total number of detailed transactions on the transmittal report.

Transfer Date

Fill this field with the date the member is transferring from Plan 2 to Plan 3, based on the Enrollment/Transfer form completed by the member.

Type Code**

The Type Code identifies the type of employer, and in some cases, the type of work performed by the member.

Zip Code

Use this field to report the zip code within the mailing address for the member or participant.

Zip Extension

Use this field to report the zip code extension within the mailing address for the member or participant.

Edit Requirements by Field

General Information

In May 1995, the Department of Retirement Systems (DRS) implemented the Employer Information System (EIS). One result was the Single Record Layout (SRL); see page 8—33. In July 1996, the Multiple Record Layout (MRL) was created in order to process Plan 3 information (see page 8—24). MRL is required to report DCP participants as of July, 2000. The information below is provided to assist you if you choose to edit your report prior to sending it to DRS. Field definitions and other relevant information can be found in Chapter 8.

DRS Transmittal Report System Edits by Field

The information is organized by the field names on the transmittal report. The MRL and SRL are different; some fields apply only to one of the layouts. DRS hopes this information will help you incorporate enhancements in your transmittal reporting.

Address Change Flag

- Valid values : Y or N

Address Lines

- The first line must contain information
- The second and third lines are optional

Begin Date/Eligibility Start Date

- Valid values for year: 00-99
- Valid values for month: 01-12
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)
- Data must appear in this field the first time a SOCIAL SECURITY NUMBER is reported.
- BEGIN DATE YEAR and BEGIN DATE MONTH must match the EARNING PERIOD YEAR and EARNING PERIOD MONTH (SRL only).
- A BEGIN DATE is valid only if STATUS CODE is A, B, E, G, or L (SRL only).

- Data may appear in this field after the first time a SOCIAL SECURITY NUMBER is reported if SYSTEM is L and STATUS is B or E (SRL only).

Birth Date

- BIRTH DATE must appear on the first transmittal report you
- submit for an employee.
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)

- **Note:** If the BIRTH DATE indicates the member is younger than 16 or older than 100 years, DRS accepts the data but issues a warning message asking if the date is correct.

City

- This field must contain a valid city whenever the member profile record is submitted.

Compensation (Does not apply to DCP Reporting)

- If COMPENSATION is reported, CONTRIBUTIONS must also be reported, with the following exceptions:

—status code L must be reported with zero contributions.
—For PERS Plan 2 elected officials with type codes 10-16
—and 24-25 or SERS Plans 2 and 3 elected officials with Type Code 31; status code A may be reported with zero contributions if no service credit was earned that month.
—Member Contributions are not reportable for Plan 3 members unless the member has chosen a rate option (MRL only).

Note: DRS checks its member account records to ensure the COMPENSATION reported for a member on any transmittal report will not result in a net negative balance on the member account for that particular earning period. Transactions creating a new negative balance are rejected if the earning period is three months prior to the current earning period.

If COMPENSATION is over $10,000.00, DRS accepts the data and issues a warning message asking if the amount is correct.

Control Number (Does not apply to DCP Reporting)

- No edits

Days (Does not apply to DCP Reporting)

- DAYS are reported to the nearest tenth (24.0) for TRS Plan 1 only
- If DAYS are greater than 24 (or less than –24), DRS accepts the data and issues a warning message asking if the amount is correct.

  Note: DRS checks its member account records to ensure the DAYS reported for a member on any transmittal report will not result in a net negative balance on the member account for that particular earning period. Transactions creating a net negative balance are rejected.

Defined Benefit Member Contribution (Does not apply to DCP Reporting)

- Member contributions for non-Plan 3 members only.

  Contributions must be the product of the following calculation:
  contributions = (compensation) x (member contribution rate), calculated to four decimal points and rounded to two decimal points.

Refer to Chapter 6 for rate tables showing which rates apply to each earning period. If no contributions are to be reported, enter zeroes in this field.

Defined Contributions/Deferrals

- Plan 3 member contribution or DCP participant deferrals only.
- Must be numeric.

Disability/Leave End Date (Does not apply to DCP Reporting)

- Valid values for year: 00-99
- Valid values for month: 01-12
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)

Disability/Leave Start Date (Does not apply to DCP Reporting)

- Valid values for year: 00-99
- Valid values for month: 01-12
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)

Earning Period (Does not apply to DCP Reporting)

- A valid earning period must be present for the transaction to be processed.
- Valid values for year: 00-99
- Valid values for month: 01-12
- Earning period year must not be greater than current reporting period year (or current reporting period year +1 if the reporting month is 12).
- For system code E,
  —Plan 2, the earning period must be greater than September 1977 (> 197709);
  Plan 3, the earning period must be great than August 2000 (> 200008) unless the Plan 3 member transferred from Plan 2;
- For system code L,
  Plan 1, the earning period must be greater than February 1970 (> 197002);
  Plan 2, the earning period must be greater than September 1977 (> 197709);
- For system code J,
  the earning period must be greater than July 1971(>197107).
- For system code P,
  —Plan 1, the earning period must be greater than September 1947 (> 194709);
  —Plan 2, the earning period must be greater than September 1977 (> 197709);
- For system code S,
  — the earning period must be greater than July 1947 (> 194707).
- For system code T,
  Plan 1, the earning period must be greater than June 1947 (> 194706), unless the Plan 3 member transferred from Plan 2.
  —Plan 2, the earning period must be greater than September 1977 (>197709);
  Plan 3, the earning period must be greater than June 1996 (> 199606), unless the Plan 3 member transferred from Plan 2.

Note: Corrections will be accepted from October 1977 forward for TRS and SERS Plan 2 members who transferred to Plan 3.

- The earning period must be equal to or greater than the begin date for this Social Security number.
- The earning period must not be greater than the end date for this Social Security number (unless a new period of employment is beginning and a new begin date is reported).

Note: Some STATUS CODES are valid only for a certain range of EARNING PERIODS.

DRS checks to see that the EARNING PERIOD is greater than or equal to the member's entry year and month into the system as recorded on DRS's member database.

Employer Contributions (Does not apply to DCP Reporting)

Employer contributions must be the product of this calculation:

contributions = (compensation) x (employer contribution rate), computed to four decimal points and rounded to two decimal points.

Note: The contribution rate must be correct for the SYSTEM, PLAN, and EARNING PERIOD.

End Date/Eligibility End Date

- Valid values for year: 00-99
- Valid values for month: 01-12
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)
- The END DATE must be greater than or equal to the BEGIN DATE for this employee with this employer.
- END DATE YEAR and END DATE MONTH must match the EARNING PERIOD YEAR and EARNING PERIOD MONTH (SRL only).
- If STATUS is S, an END DATE is required (SRL only).
- If SYSTEM is P, T, S, or J, END DATES are valid only if STATUS code is S (SRL only).
- If SYSTEM is L, END DATES are valid only if STATUS code is B, E, or S (SRL only).

Expected Monthly Reports

- Employers using the multiple reporting option must use the Report Version Number and Expected Monthly Reports fields to identify this regular transmittal report in the month's sequence of reports. (DRS does not want employers who have a bi-weekly payroll system to send more than two reports in a month.)

- Employers who are not using the multiple reporting option should always enter 01 in the Expected Monthly Reports field.

- Employers submitting a correction report should always enter 01 in the Expected Monthly Reports field.

Gender Code

- Valid values: F, M
- F—Female
- M—Male
- GENDER CODE must be reported the first time you report an employee.

Hours (Does not apply to DCP Reporting)

- Hours are reported for all systems except TRS Plan 1.
- If hours are greater than 300 (or less than –300), DRS
- accepts the data and issues a warning message asking if the amount is correct.

  Note: DRS checks its member account records to ensure the HOURS reported for a member on any transmittal report will not result in a net negative balance on the member account for that particular earning period. Transactions creating a net negative balance are rejected.

Hours or Days (Does not apply to DCP Reporting)

- HOURS or DAYS must be reported to the nearest tenth of an hour or day (for example, 133.3 hours, 160.0 hours or 20.5 days). If you do not keep track of service to the nearest tenth, include a decimal point and zero following the whole number when you report.

- If HOURS are greater than 300 (or less than –300), or if DAYS are greater than 24 (or less than –24), DRS accepts the data and issues a warning message asking if the amount is correct.

  Note: DRS checks its member account records to ensure the HOURS or DAYS reported for a member on any transmittal report will not result in a net negative balance on the member account for that particular earning period. Transactions creating a net negative balance are rejected.

Investment Program (Does not apply to DCP Reporting)

- Valid values: WSIB or SELF

Member Contributions (Does not apply to DCP Reporting)

- MEMBER CONTRIBUTIONS must be the product of the following calculation:

  contributions = (compensation) x (member contribution rate), calculated to four decimal points and rounded to two decimal points.

  Note: The contribution rate must be correct for the SYSTEM, PLAN, and EARNING PERIOD. (Does not apply to Plan 3. The member rate in Plan 3 is not connected to a specific earning period.)

Member/Participant Name Change Flag

- Valid values: Y or N

Member/Participant Name Change Ext.

- No edits

Member/Participant Name—Last, First, Middle

- A valid NAME must be present for the transaction to be processed.
- Format: last name/comma/blank/first name/blank/middle name or initial (DOE, JOHN H). (SRL only.)
- Reported data must not be all numbers
- Middle name is optional

Note: DRS checks that the EMPLOYEE NAME matches DRS's member database for the reported SOCIAL SECURITY NUMBER.

Member/Participant Name Suffix

- No edits.

Member/Participant Name Title

- No edits

Organization Display (Does not apply to DCP Reporting)

- No edits

Plan Code

- A valid plan code must be present for the transaction to be processed.
- Valid values: 1, 2 or 3
- 1—Plan 1
- 2—Plan 2
- 3—Plan 3
- PLAN 3 is valid only for SYSTEM codes E and T.
- PLAN 2 is valid only for SYSTEM codes E, L, P, and T.
- PLAN 1 is valid for all SYSTEM codes except E.

Note: DRS checks the PLAN code against the plan shown for the employee's Social Security number on DRS's member database.

Rate Option (Does not apply to DCP Reporting)

- Valid values: A, B, C, D, E and F

Record Sequence Number (Does not apply to DCP Reporting)

- A valid RECORD SEQUENCE NUMBER must be present for the transaction to be processed.
- Records must be listed in ascending RECORD SEQUENCE NUMBER order.
- For any monthly transmittal report, there must be a unique RECORD SEQUENCE NUMBER for each transaction within a PLAN.

Record Type Identifier

- Valid values: B, C, E, M ,S, T and L

Report Type

- Valid values: R or C

Report Version Number

- Valid values: 01—03 (03 is not valid for DCP reporting).
- Employers using the multiple reporting option must use the Report Version Number to identify this report in the month's sequence of reports.
- Employers who are not using the multiple reporting option should always enter 01 in the REPORT VERSION NUMBER field.
- Employers submitting a correction report should always enter 01 in the REPORT VERSION NUMBER field. (Correction reports are given version numbers by the DRS system.)

Reporting Group Number

- A valid REPORTING GROUP NUMBER must be present for the transaction to be processed.
- The REPORTING GROUP must be valid for the SYSTEM reported for this transaction.
- The following ranges of numbers are valid for each system:

JRS	0001-0003	TRS	000001-999999
PERS	0101-9999	WSPRS	S056-S057
LEOFF	A001-H999	SERS	90011-99991

Note: DRS validates the REPORTING GROUP NUMBER against DRS's database of valid reporting group numbers. DCP/JRA numbers are not reflected within consistent ranges.

Reporting Period

- Valid values for year: 00-99
- Valid values for month: 01-12
- A valid REPORTING PERIOD must be present for the transaction to be processed.
- REPORTING PERIOD YEAR must not be greater than current year.
- REPORTING PERIOD MONTH must not be greater than current month.
- REPORTING PERIOD must be one month greater than the last reported REPORTING PERIOD for this REPORTING GROUP.
- All transactions on a particular transmittal report must have the same REPORTING PERIOD regardless of EARNING PERIOD(S) reported.

Social Security Number

- A valid Social Security number must be present for the transaction to be processed.
- If a Social Security number has not appeared on the transmittal report before, the transaction must have a begin date/eligibility start date.
- A Social Security number should not appear for any earning period before the reported begin date/eligibility start date.
- Once a Social Security number has been reported, that same Social Security number must be reported each earning period until an eligibility end or employment termination date is reported.
- A Social Security number should not appear for any earning period after the reported end date, unless you report a new begin date.

  Note: DRS verifies the SOCIAL SECURITY NUMBER matches the name and SOCIAL SECURITY NUMBER in the DRS's member database.

State

- Valid values are each state's letter abbreviations used for mailing.

Status Code

- A valid status code must be present for the transaction to be processed.
- The following status codes are valid for any earning period: A, B, E, F, G, M, N, P, R, S, T, U, V, W, X, Y.
- The following STATUS codes are valid only for restricted EARNING PERIODS:
  —C code is valid only for EARNING PERIODS from September 1983 through August 1990 (198309-199008).
  —D code is valid only for EARNING PERIODS prior to September 1989 (<198909).
  —H code is valid only for EARNING PERIODS prior to September 1990 (< 199009).
  —L code is valid only for EARNING PERIODS from January 1987 through August 1991 (198701-199108).
  —Q code is valid only for EARNING PERIODS prior to January 1993 (<199301).
  —The STATUS code must be valid for the SYSTEM, PLAN, and TYPE codes reported.

A Status code A is valid for any SYSTEM, PLAN, EARNING PERIOD, or TYPE code.

B For status code B the following edits apply:
—If status is B, compensation, employee contributions, and hours/days must be zero.

C For status code C the following edits apply:
—C code is valid only for school district employees (DRS verifies against REPORTING GROUP).
—C code is valid only for SYSTEM P or E.
—C code is valid only for EARNING PERIODS from September 1983 through August 1990 (198309-199008).
—C code is valid only for TYPE codes 18 and 21.

D For status code D the following edits apply:
—D code is valid only for higher education employees (DRS verifies against REPORTING GROUP).
—D code is valid only for SYSTEM P.
—D code is valid only for EARNING PERIODS prior to September 1989 (<198909).
—D code is valid only for TYPE codes 19 and 20.
—If STATUS is D, COMPENSATION, EMPLOYEE CONTRIBUTIONS, and HOURS/DAYS must be zero.

E For status code E the following edits apply:
—E code is valid only if SYSTEM is L, and PLAN is 1.
—If STATUS is E, COMPENSATION, EMPLOYEE CONTRIBUTIONS, and HOURS/DAYS must be zero.

F For status code F the following edits apply:
—F code is valid only if SYSTEM is T.

G For status code G the following edits apply:
—G code is valid only if SYSTEM is T and PLAN is 1.

H For status code H the following edits apply:
—H code is valid only if SYSTEM is T.
—H code is valid only for EARNING PERIODS prior to September 1990 (< 199009).

L For status code L the following edits apply:
—L code is valid only if SYSTEM is T, L and PLAN is 2 or SYSTEM is P and PLAN is 1 or 2.
—If STATUS is L, EMPLOYEE CONTRIBUTIONS must be zero.
—L code is valid only for EARNING PERIODS from January 1987 through August 1991 (198701-199108).

M For status code M the following edits apply:
—M code is valid only if SYSTEM is P, T, L or S.
—If STATUS is M, HOURS/DAYS must be zero.

N For status code N the following edits apply:
—N code is valid only if SYSTEM is P and PLAN is 1, or SYSTEM is T and PLAN is 1, or SYSTEM is S.
—N code is valid only for TYPE codes 01-25, 51, 71-75, and 78.

P For status code P the following edits apply:
—P code is valid only if SYSTEM is P and PLAN is 1.
—P code is valid only for TYPE codes 02-08 and 10-16.

Q For status code Q the following edits apply:
—Q code is valid only if SYSTEM is P, PLAN is 2, and TYPE is 10-16.
—Q code is valid only for EARNING PERIODS prior to January 1993 (<199301).
—If STATUS is Q, COMPENSATION may be reported without CONTRIBUTIONS.

R For status code R the following edits apply:
—R code is valid only if SYSTEM is P and PLAN is 1, or SYSTEM is T and PLAN is 1.
—R code is valid only for TYPE codes 01-25, 71-75, and 78.

S For status code S the following edits apply:
—When STATUS is S, there must be data in the END DATE field.
—When STATUS is S, the END DATE YEAR and MONTH must match the EARNING PERIOD YEAR and MONTH.

T For status code T the following edits apply:
—T code is valid only if SYSTEM is P and PLAN is 1, or SYSTEM is T and PLAN is 1,or SYSTEM is S.
—T code is valid only for TYPE codes 01-25, 51, 71-75, and 78.

U For status code U the following edits apply:
—U code is valid only if SYSTEM is P and PLAN is 1, or SYSTEM is T and PLAN is 1, or SYSTEM is S.
—U code is valid only for TYPE codes 01-25, 51, 71-75, and 78.

V For status code V the following edits apply:
—V code is valid only if SYSTEM is P and PLAN is 1, or SYSTEM is T and PLAN is 1.
—V code is valid only for TYPE codes 01-25, 71-75, and 78.

W For status code W the following edits apply:
—W code is valid only if SYSTEM is P and PLAN is 1.
—W code is valid only for TYPE codes 02-08 and 10-16.

X For status code X the following edits apply:
—X code is valid only if SYSTEM is P and PLAN is 1.
—X code is valid only for TYPE codes 02-08 and 10-16.

Y For status code Y the following edits apply:
—Y code is valid only if SYSTEM is P and PLAN is 1, or SYSTEM is T and PLAN is 1.
—Y code is valid only for TYPE codes 01-25, 71-75, and 78.

System Code

- A valid system code must be present for the transaction to be processed.
- Valid Values: D, E, J, L, P, R, S, T
  D—Deferred Compensation Program (DCP)
  E—School Employees' Retirement System (SERS)
  J—Judicial Retirement System (JRS)
  L—Law Enforcement (LEOFF)

  R—Judicial Retirement Account (JRA)
  S—Washington State Patrol Retirement System (WSPRS)
  T—Teachers' Retirement System (TRS)

Note: DRS checks that the SYSTEM code matches our record of the system for the REPORTING GROUP.

Tax/Non-tax (Does not apply to DCP Reporting)

- Valid values: T or blank

Total Compensation (Does not apply to DCP Reporting)

- Should equal the sum of all transactions for which compensation is reported

Total Days (Does not apply to DCP Reporting)

- Should equal the sum of all days for which compensation is reported

Total Employer Contributions (Does not apply to DCP Reporting)

- Should equal the sum of all employer contributions for which compensation is reported

Total Hours (Does not apply to DCP Reporting)

- Should equal the sum of all hours for which compensation is reported

Total Hours/Days (Does not apply to DCP Reporting)

- Should equal the sum of all hours/days for which compensation is reported

Total Member Contributions/Deferrals

- Should equal the sum of all member contributions for which compensation is reported or the sum of all participant deferrals

Total Records Reported

- Should equal the sum of all records reported that include compensation

Transfer Date

- Valid values for year: 00-99
- Valid values for month: 01
- Valid values for day: 01-31
  —Data must appear in this field the first time a Plan 2 member is reported in Plan 3
- For SERS: September 1, 2000,—February 28, 2001, and
- January 1-31 of every year beyond 2001.
- For TRS: July 1, 1996,—December 1997, and January 1-31 of every year beyond 1997.

Type Code (Does not apply to DCP Reporting)

- A valid TYPE CODE must be present for the applicable transaction to be processed.
- The TYPE CODE must be valid for the SYSTEM and for the employee type.
- TYPE CODES valid for each SYSTEM:
  - — E (SERS): valid codes are 30-34
  - — P (PERS): valid codes are 01-21, 24-25
  - — T (TRS): valid codes are 71-75, 78
  - — L (LEOFF): valid codes are 40-49
  - — J (Judicial): valid code is 52
  - — S (WSPRS): valid code is 51
  - — D (DCP): none are required
  - — R (JRA): none are required

Note: DRS validates the TYPE CODE against the reported SYSTEM and the system's record of the Employer Type.

Zip Code

- Must be numeric

Zip Extension

- Must be numeric

Manual (Paper) Reporting

Required Information

Employers, who report manually (with paper) use the "Member Earnings Transmittal Report." This report is organized into four distinct sections: header, member information, earnings information and page/plan/system totals. The following pages provide an explanation of each of these sections. See the end of this chapter for examples of the manual report before and after it has been completed.

Note: See Chapter 11 for DCP manual (paper) transmittal reporting information.

Header Section

The header section is used to identify the reporting employer. This section contains the following fields.

Reporting Group Number

Each employer is assigned a unique number that identifies the employer and the retirement system in which the employer participates. (This number was previously called the department number.) Reporting Group numbers are either four or six characters, depending upon the retirement system being reported.

System

This field identifies the retirement system in which the employer participates. The following codes are valid:

J	Judicial Retirement System
L	Law Enforcement Officers' and Fire Fighters' Retirement System
P	Public Employees' Retirement System
S	Washington State Patrol Retirement System
T	Teachers' Retirement System

Plan

This field identifies the retirement system plan being reported. For system codes L and P, the plan code can be 1 or 2. For system code T, the plan code can be 1, 2 or 3. For system codes J and S, the plan code must be 1.

Reporting Period

This field identifies the month and year for which information is being reported. The reporting period is six characters formatted MMYYYY. For example, a reporting period of July 1998 is entered: 07/1998.

The reporting period printed on the report cannot be changed. The report for a given reporting period will not be processed until the report for the preceding reporting period has been processed.

Employer Name

This field identifies the name of the reporting group, as it is stored in DRS's database. Contact ESS if the name preprinted on the transmittal report should be changed.

Prepared By

This field identifies the name of the individual responsible for preparing the report. Contact ESS if the name preprinted on the transmittal report should be changed.

Telephone

This field identifies the telephone number of the individual responsible for preparing the transmittal report. Contact ESS if the telephone number preprinted on the transmittal report should be changed.

Page

This field identifies the page number of the report. The last page of the report is used to record the page, plan and system totals.

Member Information

The Member Information section is used to provide basic identifying information about each individual being reported. This section contains the following fields.

Social Security Number

The employee's Social Security number must be nine digits. The Social Security number entered on the transmittal report must match the number shown on the employee's Social Security card and the number in the DRS Enrollment Record.

Name

The employee name identifies the member being reported and must be entered as follows:

Last name—followed by a comma and one space
First name—followed by one space
Middle name or initial—*not* followed by any punctuation

Example**:** Rosalie Marie Hart is reported: Hart, Rosalie M

Gender

This one-letter code identifies the gender of the individual being reported. A gender code is required the first time you report an eligible employee. Valid codes are:

F	Female
M	Male

Birth

The birth date identifies the month, day, and year the individual was born. A birth date is required the first time you report an eligible employee. The birth date is six characters, formatted MMDDYY. For example, March 3, 1951, is entered: 03/03/51.

Type

Type is a two-digit code, which identifies the type of employer, or the type of job performed. Certain type codes are valid for each retirement system and for the reporting group reported. (See Chapter 7, "Transmittal Codes," for a description of the valid type codes.)

Earnings Information

The Earnings Information section is used to provide details about a member's service, compensation and contributions. This section contains the following fields.

Earning Period

Compensation must be reported by the calendar month and year in which it is earned. Only one earning period can be entered on each line. If more than one earning period is reported for an employee, use additional lines on the report for each earning period.

The earning period must be four characters, formatted MMYY. For example, an August 1999 earning period is entered: 08/99.

Status

This one-letter code identifies the status of the compensation, contributions and/or the service being reported. Only one status code can be entered on a line. If more than one status code must be reported for an employee, use additional lines on the report for each code.

The status code entered must be valid for the system and plan in which the employee is being reported. (See Chapter 7, “Status Codes,” for a description of the valid status codes.)

Compensation

In general, the salaries or wages earned by an employee for personal services during a calendar month, payroll period or fiscal year are reported as compensation. Each retirement system and plan has different requirements for reporting compensation. See Chapter 4, “Reportable Compensation,” or contact the appropriate retirement services unit at DRS if you have questions about whether an employee’s compensation is reportable for retirement.

Member Contributions

Member contributions are due on all compensation reported for each earning period. Refer to Chapter 6 for information about calculating and reporting member contributions and for tables showing the applicable member contribution rates.

Employer Contributions

Employer contributions are due on all compensation reported for each earning period. Refer to Chapter 6 for information about calculating and reporting employer contributions and for tables showing the applicable employer contribution rates.

Hours/Days

The number of hours or days for which an employee receives compensation is referred to as the employee’s service. Service must be reported in days for TRS Plan 1 members and in hours for members of all other systems and plans. Report service to the nearest tenth of an hour or day. For example, you could report a PERS 1 member as working 160.0 hours or a TRS 1 member as working 20.0 days during a given earning period.

Note: *TRS 1 members*—If a full-time teacher works additional hours over and above the regular hours scheduled on a given day, do not report the additional time worked that day. If a full-time teacher works additional days during the school year, you should report the additional days.

Begin Date

This field is used to enter the date a member begins employment that is eligible for retirement system coverage. The begin date must be six characters, formatted MMDDYY. For example, a begin date of June 11, 1999, is entered: 06/11/99.

The first time you report an eligible employee, enter a valid begin date, gender code, and birth date on the report. The month and year of the earning period on the reporting line must match the month and year of the begin date you enter. If the employee needs to complete an Enrollment Form, make sure the begin date you enter on the report matches the date you enter on the form.

Note: *LEOFF members*—This field is used with status code E to indicate the date a LEOFF Plan 1 member begins an authorized disability leave of more than three days. The field is used with status code B to indicate the date a LEOFF Plan 1 or Plan 2 member begins leave without pay of more than three days. (See Chapter 7, "Transmittal Codes," for details about reporting with status codes E and B.)

End Date

This field is used to enter the date a member ends employment that is eligible for retirement system coverage. The end date must be six characters in length, formatted MMDDYY. For example, an end date of July 31, 1998, is entered: 07/31/98.

When separating an employee from the report, enter a valid end date and status code S. Make sure the month and year of the earning period on the reporting line matches the month and year of the end date entered.

Note: *LEOFF members*—This field is used with status code E to indicate the date a LEOFF Plan 1 member ends an authorized disability leave of more than three days. The field is used with status code B to indicate the date a LEOFF Plan 1 or Plan 2 member ends leave without pay of more than three days. (See Chapter 7, "Transmittal Codes," for details about reporting with status codes E and B.)

Sequence Number

The sequence number identifies the order of line entries on the transmittal report. A sequence number is preprinted on the transmittal report for each employee reported in a previous month. When you report a new employee, you do not need to enter a sequence number—DRS will assign a number when the report is processed.

Page, Plan, and System Totals

The Page, Plan and System Totals section is used to indicate the total compensation, contributions and service being reported. This section contains the following fields.

Page Totals

These fields are used to enter the total amounts of compensation, member contributions, employer contributions, and hours/days reported on a given page of the report.

Plan Totals

These fields are used to enter the total amounts of compensation, member contributions, employer contributions, and hours/days reported for a given retirement system plan. If multiple pages are used to report members of a retirement plan, enter the plan totals on the last page used to report members of that plan.

System Totals

These fields are used to enter the total amounts of compensation, member contributions, employer contributions, and hours/days reported for a given retirement system. If multiple pages are used to report members of a retirement system, enter the system totals on the last page used to report members of that system.

Procedures for Manual (Paper) Reporting

The following pages describe some common procedures for transmittal reporting using the "Member Earnings Transmittal Report." For additional details about these procedures or for information about procedures not covered on these pages, please contact ESS.

General Procedures

When working with this report:

- Check to see if the information you last reported for an employee is still correct. If it is, you do not need to change it for the current month.
- Make changes or enter new information, using red ink. Red ink is easier for ESS personnel to see and helps ensure that changes are entered correctly when your transmittal report is processed.
- Change data in the Member Information section by crossing out the incorrect information. Using red ink, write the correct information next to the information you are changing.
- Change data in the Earnings Information section by crossing out the incorrect information and using the open line below it to enter the correction.
- Use the open lines at the end of the report to enter additional records for a current employee or to enter information for a new employee.
- Adjust the page and plan totals as necessary; after you have made your changes adjust the system total.
- Review the contact information in the header. If your contact name or telephone number has changed, inform DRS. Use the address change area of the banner page to notify DRS of changes in your transmittal report address.
- Make a copy of the transmittal report for your records and send the complete form to ESS by the 15th of each month.

Adding an Employee to the Report

When you hire a new employee who is eligible for retirement system coverage or when an existing employee becomes eligible for retirement coverage, you must begin reporting the employee to DRS.

Before adding an employee

- Verify the employee's plan assignment. The correct plan assignment is critical to ensure accurate transmittal reporting. Contact the appropriate retirement services unit (PERS, TRS, LEOFF) at DRS for assistance with verifying plan assignments.
- Determine if the employee needs to complete an Enrollment Form. If necessary, have the employee complete the appropriate sections then complete the employer information and send the form to DRS. (See Chapter 12 for an example of the Enrollment Form.)
- Determine the correct earning month for reporting the employee. If an employee first earned compensation in March, you would begin reporting the employee with a March earning period and begin date. The employee could be added to either the March or April report depending upon your payroll cycle. (See the section called "Transmittal Reporting to DRS" in this chapter for information about payroll cycles.)

Reporting a new employee:

- On a blank line of the report, provide information about the employee in each of the following fields:

  —Social Security Number
  —Name
  —Gender
  —Birth
  —Type
  —Earning Period
  —Status
  —Compensation
  —Member Contributions
  —Employer Contributions
  —Hours/Days
  —Begin Date

- To avoid an error, verify that you have entered a gender code, birth date, and begin date for the employee, and the reported begin date falls within the month and year of the reported earning period.

Washington State Department of Retirement Systems — Member Earnings Transmittal Report

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
1234	P	2	05/1999	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information	Earnings Information: Earning Period		Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date			End Date			Seq No.
SSN: 234 56 7890 Name: Moe, Joe	05	99	A	3011	00	140	01	225	83	176	0	05	15	98				
Gender: M Birth: 07/28/55 Type: 03																		

- Make any adjustments necessary to the page, plan, and system totals.

Changing Member Information

Most information in the Member Information section will remain the same each month. If it changes, you will need to correct it. If an employee changes names, he or she will need to complete a Name/Address Change Form and send it to DRS. When the change has been made, it will be reflected on the next report you receive.

Changing Earnings Information

Information in the Earnings Information section will often change each month. To change the preprinted information, use the blank area beneath each field.

Changing compensation and contributions:

Cross out the amounts shown in the Compensation, Member contributions, and Employer Contributions fields.

Enter the correct amounts in the blank area provided beneath each field.

Washington State Department of Retirement Systems — Member Earnings Transmittal Report

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
1234	P	2	05/1999	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information	Earnings Information: Earning Period		Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date			End Date			Seq No.
SSN: 234 56 7890 Name: Moe, Joe	05	99	A	~~3011~~	~~00~~	~~140~~	~~01~~	~~225~~	~~83~~	176	0							
Gender: M Birth: 07/28/55 Type: 03				*3131*	*00*	*145*	*59*	*234*	*83*									

- Make any adjustments necessary to the page, plan, and system totals.

Adjusting Page, Plan and System Totals

If you change an employee's reported compensation, contributions, or hours/days of service, you must adjust the page, plan and system totals. Page totals must be entered on each page of the report. Plan totals must be entered on the last page of information for a given retirement plan. System totals must be entered on the last page of information for a given retirement system.

Changing page, plan and system totals

- On each page of the transmittal report, add together the amounts reported in the Compensation, Member Contributions, Employer Contributions, and Hours/Days columns. Cross out the page total shown for each column and enter the corrected amount.

Washington State Department of Retirement Systems — Member Earnings Transmittal Report

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
1234	P	2	05/1999	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information: SSN: Name: Gender: Birth: Type:

Earnings Information

	Earning Period	Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date	End Date	Seq No.
Page Total			~~25644~~	~~00~~	~~1302~~	~~72~~	~~1054~~	~~07~~	~~1400~~	~~0~~			
			27484	*00*	*1278*	*01*	*2061*	*30*	*1528*	*0*			

- On the last page of information reported for each plan, add together the separate page totals reported, cross out the plan total shown for each column, and enter the corrected amount.

Washington State Department of Retirement Systems — Member Earnings Transmittal Report

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
1234	P	2	05/1999	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information: SSN: Name: Gender: Birth: Type:

Earnings Information

	Earning Period	Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date	End Date	Seq No.
Page Total			~~25644~~	~~00~~	~~1302~~	~~72~~	~~1054~~	~~07~~	~~1400~~	~~0~~			
			27484	*00*	*1278*	*01*	*2061*	*30*	*1528*	*0*			
Plan Total			~~61200~~	~~00~~	~~2605~~	~~00~~	~~9000~~	~~14~~	~~2016~~	~~0~~			
			54968	*00*	*2556*	*01*	*4122*	*60*	*3056*	*0*			

- On the last page of the transmittal report, add together the separate plan totals reported, cross out the system total shown for each column, and enter the corrected amount.

Washington State Department of Retirement Systems — Member Earnings Transmittal Report

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
1234	P	2	05/1999	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information	Earnings Information										
	Earning Period	Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date	End Date	Seq No.
SSN: Name:													
Gender: Birth: Type:													
	Page Total		~~25644~~	~~00~~	~~1302~~	~~72~~	~~1054~~	~~07~~	~~1400~~	~~0~~			
			27484	*00*	*1278*	*01*	*2061*	*30*	*1528*	*0*			
	Plan Total		~~61200~~	~~00~~	~~2605~~	~~00~~	~~9000~~	~~14~~	~~2016~~	~~0~~			
			54968	*00*	*2556*	*01*	*4122*	*60*	*3056*	*0*			
	System Total		~~70992~~	~~00~~	~~9000~~	~~16~~	~~5862~~	~~21~~	~~4224~~	~~0~~			
			82452	*00*	*3834*	*02*	*6183*	*90*	*4584*	*0*			

Separating an Employee

When an employee is no longer eligible for membership in a retirement system, you need to stop reporting him or her to DRS. You can use the transmittal report to separate the employee; if you don't want to wait until the transmittal report is due, you can submit a correction report at any time during the month.

Separating an employee on the transmittal report:

- In the Status field, enter status code S.
- In the Compensation, Member Contributions, Employer Contributions, and Hours/Days fields, cross out any incorrect amounts and enter the necessary corrections.
- In the End Date field, enter the employee's last date of eligible employment. (Make sure the month and year of the end date you enter falls within the month and year of the reported earning period for this line.)

Washington State Department of Retirement Systems — Member Earnings Transmittal Report

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
1234	P	2	05/1999	Example, City of	Dawn Riley	(360) 123-4567	1

Member Information	Earning Period		Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date	End Date	Seq No.
SSN: 234 56 7890 Name: Moe, Joe	05	99	A	~~3011~~	~~00~~	~~140~~	~~01~~	~~225~~	~~83~~	176	0			
Gender: M Birth: 07/28/55 Type: 03				*3131*	*00*	*145*	*59*	*234*	*83*					

Note: Use additional lines to report any leave cashouts for eligible PERS 1, TRS 1 or WSPRS employees. (See Chapter 7, "Transmittal Codes," for details about reporting leave cashouts.)

- Make any adjustments necessary to the page, plan, and system totals.

Washington State Department of Retirement Systems **Member Earnings Transmittal Report**

Rpt Group (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
2341	P	2	07/1999	Modernity, City of	Garvey, Mickey	(206) 888-9999	2

Member Information / Earnings Information

SSN	Name	Gender	Birth	Type	Earning Period	Status	Compensation	Member Contributions	Employer Contributions	Hours/ Days	Begin Date	End Date	Seq No.
569 40 0062	Paul, Becky	F	09 19 45	03	07 99	A	3,182 00	147 96	238 65	176 0			15
534 60 0473	Pater, Jeri M	F	11 10 54	03	07 99	A	1,991 00	92 58	149 32	176 0			16
534 86 7754	Satori, Diane	F	08 19 39	03	07 99	A	3,597 00	167 26	269 77	176 0			17
535 48 8891	Prante, Irving	M	03 08 47	03	07 99	A	2,985 00	138 80	223 87	176 0			18
666 00 1111	Gregory, Celeste G	F	08 22 55	03	07 99	A	4,045 00	188 09	303 37	176 0			19
462 44 2283	Persimmon, Buck	M	10 28 56	03	07 99	A	2,973 00	138 24	222 97	176 0			20
534 20 3351	Ceary, Thomas	M	07 02 60	03	07 99	A	3,278 99	152 74	245 92	203 0			21
404 28 2202	Cosmo, Jerry	M	03 31 54	03	07 99	A	3,375 00	156 93	253 12	176 0			22
540 36 4414	Reid, George W	M	08 21 46	03	07 99	A	2,032 36	94 50	152 42	178 4			23
524 44 7797	Carson, Darlene	F	10 05 53	03	07 99	A	2,530 08	117 64	189 75	168 0			24

	Compensation	Member Contributions	Employer Contributions	Hours/Days
Page Total	29,989 43	1394 74	2,249 16	1,781 4
Plan Total	49,177 50	2,286 75	3,688 31	3,483 0
System Total	79,166 93	3681 49	5937 47	5264 4

RUN DATE: 07/20/99

COMPLETED REPORT DUE TO DRS by 08/15/1999.
Mail to:
P.O. Box 48380
Olympia, WA 98504-8380

Instructions:

1. **Verify information in shaded areas.**
2. **To make necessary changes, cross out preprinted data and enter changes in blank fields.**
3. **Copy completed report for you records.**

Washington State Department of Retirement Systems | **Member Earnings Transmittal Report**

Rpt Group (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
2341	P	2	07/1999	Modernity, City of	Garvey, Mickey	(206) 888-9999	2

Member Information / Earnings Information

SSN / Gender	Name / Birth	Type	Earning Period		Status	Compensation	Member Contributions	Employer Contributions	Hours/ Days	Begin Date	End Date	Seq No.
SSN: 569 40 0062	Name: Paul, Becky		07	99	A	3,182 00	147 96	238 65	176 0			15
Gender: F	Birth: 09 19 45	Type: 03										
SSN: 534 60 0473	Name: Pater, Jeri M		07	99	A	1,991 00	92 58	149 33	176 0			16
Gender: F	Birth: 11 10 54	Type: 03										
SSN: 534 86 7754	Name: Satori, Diane		07	99	~~A~~	~~3,597 00~~	~~167 26~~	~~269 78~~	~~176 0~~			~~17~~
Gender: F	Birth: 08 19 39	Type: 03				*2,032 36*	*94 50*	*152 42*	*160 0*			
SSN: 535 48 8891	Name: Prante, Irving		07	99	A	2,985 00	138 80	223 88	176 0			18
Gender: M	Birth: 03 08 47	Type: 03										
SSN: 666 00 1111	Name: Gregory, Celeste G		07	99	A	4,045 00	188 09	303 38	176 0			19
Gender: F	Birth: 08 22 55	Type: 03										
SSN: 462 44 2283	Name: Persimmon, Buck		07	99	~~A~~	~~2,973 00~~	~~138 24~~	~~222 98~~	~~176 0~~			20
Gender: M	Birth: 10 28 56	Type: 03			*B*	*0 00*	*0 00*	*0 00*	*0 0*			
SSN: 534 20 3351	Name: Ceary, Thomas		07	99	A	3,278 99	152 47	245 92	203 0			21
Gender: M	Birth: 07 02 60	Type: 03										
SSN: 404 28 2202	Name: Cosmo, Jerry		07	99	A	3,375 00	156 93	253 43	176 0			22
Gender: M	Birth: 03 31 54	Type: 03										
SSN: 540 36 4414	Name: Reid, George W		07	99	~~A~~	2,032 36	94 50	152 43	178 4			23
Gender: M	Birth: 08 21 46	Type: 03			*S*						07 31 99	
SSN: 524 44 7797	Name: Carson, Darlene		07	99	A	2,530 08	117 64	189 76	168 0			24
Gender: F	Birth: 10 05 53	Type: 03										
SSN: 301 20 6141	Name: Strong, Michelle											
Gender: F	Birth: 01 01 41	Type: 03	07	99	A	2,032 36	94 50	152 42		07 01 99		
SSN:	Name:											
Gender:	Birth:	Type:										
SSN:	Name:											
Gender:	Birth:	Type:										
SSN:	Name:											
Gender:	Birth:	Type:										

	Compensation	Member Contributions	Employer Contributions	Hours/Days
Page Total	~~29,989 43~~	~~1499 47~~	~~2249 16~~	~~1781~~ 4
	27,484 15	*1277 97*	*2,061 26*	*1589 4*
Plan Total	~~49,177 50~~	~~2458 89~~	~~3727 65~~	~~3483 0~~
	46,672 22	*2170 26*	*3500 42*	*3467 0*
System Total	~~79,166 93~~	~~3,958 36~~	~~8274 05~~	*5264* ~~4~~
	74156 37	*3448 23*	*5561 69*	*5056 4*

Instructions:
1. Verify information in shaded areas.
2. To make necessary changes, cross out preprinted data and enter changes in blank fields.
3. Copy completed report for you records.

RUN DATE: 07/20/99

COMPLETED REPORT DUE TO DRS by 08/15/1999.
Mail to:
P.O. Box 48380
Olympia, WA 98504-8380

Sequencing Information

How to Determine Sequencing

The sequence control number determines sequencing. DRS will print your reporting group's annual statements in ascending sequence by this control number. Transactions with duplicate control numbers or no control numbers will be sorted alphabetically by last names. Following are the specifications for member's annual statements:

Specifications for Members' Annual Statements Employee Control Number Sequence

When you provide the Department of Retirement Systems (DRS) with either a magnetic tape or a diskette containing a control number for each member, DRS will list your reporting group's annual statements in ascending sequence by this control number. In the case of duplicate control numbers, minor sort sequence will be alphabetic by last name. The control number will be printed on the bottom of the annual statement. Please see the examples on the following pages.

Using Magnetic Tape

If you choose to use magnetic tape, the tape must meet the following specifications:

1. Tape must be IBM 360/370 compatible.
2. Tape must be nine-track 1600 or 6250 BPI, EBCDIC.
3. External labels should indicate:
   ~ Employer name
   ~ Employer reporting group number (department number)
   ~ "Member Annual Statements Information"
   ~ Whether or not the tape contains machine-readable labels
4. If the tape has machine-readable labels, they must be followed by a tape mark.
5. Logical record length: 80 characters
6. Blocking factor: Five records per block
7. Physical block length: 400 characters

8. Record positions;
   01 — 06 Employer reporting group number (department number)
   07 — 15 Member's Social Security number
   16 — 21 Employer's special control number
   22 — 27 Organization information — optional (for display only)
   28 — 80 Blank

Using a Diskette

If you choose to use diskette, the diskette must meet the following specifications:

1. 3½" diskette
2. External labels should indicate:
   ~ Employer name
   ~ Employer reporting group number (department number)
   ~ "Member Annual Statements Information"
   ~ File name
3. File name format: DN999999 (DN and your employer reporting group number)

   Note: Please be sure the file name is included. Diskettes with incorrect file names will be returned for correction.

4. Record length: 80 characters
5. IBM compatible text file (ASCII TEXT)
6. Record positions:
   01 — 06 Employer reporting group number (department number)
   07 — 15 Member's Social Security number
   16 — 21 Employer's special control number
   22 — 27 Organization information — optional (for display only)
   28 — 80 Blank

The following examples illustrate how you might configure your magnetic tape or diskette, and explain what the resulting sequence of your statements will be.

Example 1: In the following example, the employer sequenced the information by an optional organization code and then assigned unique control numbers. The control numbers and the optional, display-only organization code will appear at the bottom of the member's statements. DRS simply prints the statements in control number sequence.

Reporting Grp. #	SSN	Control #	Org. Code
901052	666000000	000001	02
901052	666001111	000002	02
901052	666002222	000003	02
901052	666003333	000004	02
901052	666004444	000005	03
901052	666005555	000006	03
901052	666006666	000007	04
901052	666007777	000008	04
901052	666008888	000009	04

Example 2: The following information was sequenced with duplicating control numbers. DRS will alphabetically sort items with the same control number by last name before printing the statements.

Reporting Grp. #	SSN	Control #	Org. Code
710545	666009999	1A	none specified
710545	666008888	1A	
710545	666007777	1A	
710545	666006666	1A	
710545	666005555	2	
710545	666004444	2	
710545	666003333	2	

Example 3: The following information was sequenced in terminal digit SSN order, with unique control numbers assigned to each member. DRS will simply print the statements in control number sequence.

Reporting Grp. #	SSN	Control #	Org. Code
506250	666001111	000001	none specified
506250	666002222	000002	
506250	666003333	000003	
506250	666004444	000004	
506250	666005555	000005	
506250	666006666	000006	
506250	666007777	000007	
506250	666008888	000008	

Note: If you have employees who are not listed on the tape or diskette and statements are printed for those employees, they will be given a control number of “000000.” Those statements will be at the top of the stack of statements in alphabetic sequence by last name.

Diskettes **will be returned for correction** if they contain incorrect file names, are not in an IBM compatible text format (ASCII TEXT), or if the data is incorrectly formatted within the file.

Reviewing your file prior to sending it to DRS may help you to avoid incorrect information being sent to DRS that may delay the sequencing process. You can review your file in a DOS text editor to make sure it is in the correct format. For Windows users, you may also review your file in Notepad or a word processor such as WordPerfect or Microsoft Word. Your file should resemble the following using the previous examples.

Correctly Formatted

Example 1:

```
9010525666000000000102
9010526660011110000020
9010526660022260000030
```

Example 2:

```
7105456660044431A
```

Example 3:

```
5062506660011170000001
```

Incorrectly Formatted

```
9010525666004440000102
```

Example 1:

Example 2:

Note: To have members' annual statements run in employee control number sequence, you must provide all the information requested before DRS can process your request.

Employer Name: ____

Phone No.: (________)__________________

Contact Name:____

To run member statements in employee control number sequence, the tape or diskette must meet the attached specifications and reach DRS by late January of the current year**.**

❒ Tape information:

Tape ID Number______________________________________

_______ 1600 BPI or ________6250 BPI

_______ Labeled or _____Non-labeled

❒ Diskette

Mail this form and the tape or diskette by late January of the current year, to the following address:

ATTN: Employer Support Services
State of Washington
Department of Retirement Systems
P.O. Box 48380
Olympia, WA 98504-8380